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AUTHOR	Montague, Eleanor A.; And Others
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ABSTRACT

The Western Interstate Commission for Higher Education (WICHE) received a year's grant from the Council on Library Resources to design and develop a library network for 17 western states. During the third quarter, work centered around defining a legal basis, governance structure, role, and appropriate level of program activity for the network. Major activities included: (1) election of the organizing Steering Committee Executive Board; and (2) meetings with bibliographic network directors and Library of Congress (LC) network planning representatives. Discussions centered on the project's relationship with existing networks and LC, and library resource sharing. The Executive Board and Western Council of State Librarians restructured the Western Interstate Commission for Higher Education (WICHE) library program into a coordinating and catalyzing agent for regional resource sharing activities, renaming it the Western Interstate Library Coordinating Organization (WILCO). The appendices include minutes of the Steering Committee meeting, results of a survey of union serials data bases, and financial report. (Author/KP)

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INITIATING THE DESIGN AND DEVELOPMENT OF A WESTERN INTERSTATE BIBLIOGRAPHIC NETWORK

THIRD QUARTERLY REPORT

JANUARY - MARCH 1976

CLR Grant 614

Prepared by the WICHE
Network Design Core Staff:
Maryann Duggan
Eleanor Montague
Karl M. Pearson, Jr.
Louise T. Martin
Western Interstate Commission for Higher Education
P. O. Drawer P
Boulder, Colorado 80302
(303) 492-8150

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May 31, 1976

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ABSTRACT

During the third quarter, Project work centered around defining a legal basis, governance structure, role, and appropriate level of program activity for the Western Network. The organizing Steering Committee met for the first time on February 2-3, 1976. The Committee elected an Executive Board to work closely with Project staff, and charged staff with preparing alternatives for establishing a formal organization that would be responsive to western librarians. In a meeting in early March, Project staff explored with the directors of bibliographic centers and multistate networks operating in the West what their needs and capabilities were, and how these might best be related to the overall goals for library resource sharing in the West. The potential for interconnecting the bibliographic utilities was explored in a March meeting in Washington, D.C. among representatives from LC, CLR, NCLIS, OCLC, BALLOTS and WLN.

The quarter's activities culminated in meetings in early April of the Western Council of State Librarians and the Steering Committee Executive Board, singly and jointly. After considering the alternatives, both groups agreed that the best approach was to take advantage of the existing Western Interstate Commission for Higher Education (WICHE) library program by restructuring it into a coordinating and catalyzing agent to facilitate regional resource sharing activities. Accordingly, the Western Network Project was taken as the focal point for FY 1977 program planning, and the WICHE library program was renamed as the Western Interstate Library Coordinating Organization (WILCO). WILCO, acting as a staff for the Western Council (which may be expanded to provide representation from major libraries and library groups in the West in addition to state librarians) will be responsible for charting tasks required for interrelating the existing components active in western library networking to achieve an integrated, collaborative program for multistate library cooperation and resource sharing.

ACKNOWLEDGEMENT

The work reported herein would not have been possible without the financial support of the Council on Library Resources, Inc. and the state Library agencies in Alaska, Arizona, California, Idaho, Montana, Nevada, Oregon, South Dakota and Washington. Additionally, activity on the Cost and Funding Study mentioned in this report was supported in whole or in part by the U.S. Office of Education, Department of Health, Education and Welfare. However, the opinions expressed herein do not necessarily reflect the position or policy of the U.S. Office of Education, and no official endorsement by the U.S. Office of Education should be inferred. The efforts of a number of librarians and other interested persons, in the West and elsewhere, in helping to develop the concepts for a western bibliographic network and in helping to write or review the proposals submitted by WICHE to CLR and USOE are gratefully acknowledged. The participation of members of the Steering Committee Executive Board (Vincent Anderson, Gerald Rudolph, Rodelich Swartz, David Weber) and representatives of utilities and service centers (Lura Currier, James Kennedy, Gerald Newton, H. Paul Schrank, Donald Simpson, Earle Thompson) in several lengthy meetings to discuss coordination of networking in the West has been most helpful, and has been sincerely appreciated by the Project staff.

INITIATING THE DESIGN AND DEVELOPMENT OF A

WESTERN INTERSTATE BIBLIOGRAPHIC NETWORK

THIRD QUARTERLY REPORT

JANUARY - MARCH 1976

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INITIATING THE DESIGN AND DEVELOPMENT OF A WESTERN INTERSTATE BIBLIOGRAPHIC NETWORK

THIRD QUARTERLY REPORT
JANUARY - MARCH 1976

I. INTRODUCTION

This is the third quarterly report on the progress of the Western Bibliographic Network Project being performed by the Western Interstate Commission for Higher Education (WICHE) under terms of a grant from the Council on Library Resources (CLR). A separate summary (see Appendix G) describes activities of the Cost and Funding Studies, supported by a grant from the U.S. Office of Education (USOE), which are being performed as an integral part of the network design project. The Project is a component of the WICHE Continuing Education and Library Resources Program, which is operated for and guided by the Western Council of State Librarians.

The previous quarterly reports have described: (1) the events leading up to the submission of a proposal to CLR for a project to design and develop a bibliographic network for the benefit of all types of libraries in the 17 western states and British Columbia; (2) the acquisition of a Project staff; (3) the establishment of initial contacts with various organizations concerned with the improvement of library cooperation and resource sharing; and (4) the selection of an organizaing steering committee.

Activities of the third quarter can be characterized as a search for the appropriate identity, form, and role for the organization emerging as a result of the Network Project. The quarter began with the translation of paper plans into a flesh and blood group with a physical presence, precipitating reactions from other organizations already on the western regional library scene. The parable of the blind men and the elephant has been aptly used to describe the situation of the Project in this quarter; from each of these major meetings held to discuss the Project in the last three months a different interpretation of the purposes of the CLR grant, and the role of the "Network" organization, has been drawn. Great concern has been expressed that the "Network" not become a bureaucratic superstructure overlaid on and interfering with existing library organizations in the West.

This ferment of ideas, concerns, and activity during the quarter has been healthy and has culminated in a concept for western library cooperation that appears to be well-suited to the needs and organizational relationships existing in the West. The basic components for a "Western Network" are already in place and are providing bibliographic products and services. What is needed now is a forum, catalyst, and facilitator to support and supplement these components, to help these components plan cooperatively for the future, and to help the region's libraries make best use of the capabilities of these numerous components in the region.

The existing Western Council of State Librarians and its WICHE library program offers an appropriate vehicle for carrying out the catalytic and facilitating function for library resource sharing in the West. At the end of the quarter it was decided jointly by the Western Council and the CLR Project Steering Committee Executive Board to utilize the WICHE library program for these purposes, and the program was accordingly restructured and given a new name--the Western Interstate Library Coordinating Organization (WILCO).

II. PROJECT MANAGEMENT AND STAFFING

The organizing Steering Committee met for the first time on February 2-3. (This meeting is described more fully in the following section.) As major outcomes of the meeting, an Executive Board was elected to meet with the Project staff on a monthly basis, staff was charged with developing a long-range plan, and a second meeting of the Steering Committee was scheduled for July, just prior to the annual American Library Association meeting in Chicago. In general, the Steering Committee members approved the project activities performed to date, suggested several products and services that a network organization might provide, explored the feasibility of obtaining funding from the western states, and moved that the Executive Board provide immediate direction for the staff in working out the details for establishing the network organization under the WICHE aegis. At this point, it appeared that a new organization was to be created and was to be housed - at least initially - at WICHE to take full advantage of the existing interstate compact for higher education among the western states.

On April 8-9, the Western Council of State Librarians and the Steering Committee Executive Board met at WICHE. Western Council members present were: Marguerite Cooley of Arizona; Ethel Crockett of California (who will be on the governing board of the California Library Authority for Systems and Services (CLASS) when that state network is established in June 1976); Helen Miller of Idaho; Alberta Titus representing Alma Jacobs of Montana; Joseph Anderson of Nevada; Eloise Ebert of Oregon; Vince Anderson of South Dakota (who is incoming chairman of the governing board of the Bibliographical Center for Research (BCR) and is a member of the Steering Committee Executive Board); and Roderick Swartz of Washington, under whom the Washington Library Network (WLN) and its associated bibliographic computer utility are being developed, and who is also a member of the Steering Committee Executive Board. The state librarians of Washington, Idaho, Montana, and Alaska are represented by delegates who make up the governing board of the Pacific Northwest Bibliographic Center. Thus, the members of the Western Council influence, more or less directly, the major networking organizations already in place in the West. This factor assumed greater importance as the meeting progressed, and as the Steering Committee Executive Board, meeting separately and jointly with the Western Council, recognized in concluding that their role was an advisory one in relationship to the Western Council.

The major outcome of the April 8-9 meetings was that the organization envisioned by the CLR grant will be the Western Council, operating through the WICHE library program, now renamed WILCO. For the last quarter of FY 76, WILCO staff was directed to concentrate on completing the CLR grant tasks, particularly those that lead to a design for a regional data base, the route by which to achieve such a file structure, and a draft regional plan through which to focus long-range strategic planning in the West and for the region in relation to national planning.

Helen Miller was elected Western Council chairman, and Roderick Swartz was elected as vice-chairman, constituting the Council Executive Board that will take office on July 1, 1976. Council suggested that the newly-elected Executive Board serve as a Search Committee for any new staffing needed for the WILCO program; a continuing education coordinator should be hired as soon as funds are available. The WILCO program combining education, research and networking coordination, will be restructured for the coming fiscal year. The new structure will be dependent upon the level of funding provided by the states and the tasks that are to be accomplished; directions for the restructured program have been established and details of program activities will be established in the next quarter.

On April 13, Maryann Duggan visited Paul Lagueux and Larry Livingston at the CLR offices to discuss the progress of the project. The CLR staff expressed some surprise at the direction the Network Project was now taking since they had expected it to be a separate organization that encompassed existing western utilities and bibliographic centers to provide computerized library networking services and products to all western libraries. Ms. Duggan pointed out that conditions in the West had been greatly altered since the original grant proposal was written due to the emergence of BCR and Amigos, multistate agencies brokering computer-based services. Since these library networks exist, it is no longer necessary as a part of this project to invent them. Rather, we can move on to the next phase of networking and exploring the means for coordinating the activities of a number of relatively autonomous organizations to provide a flexible, innovative, and energetic "system" for interstate cooperation. Thus, the most feasible approach in the West is to explore avenues for coordinating and linking the activities and capabilities of existing organizations, with the Western Council acting as a catalytic forum to stimulate their closer cooperation and more effective use by western librarians.

Maryann Duggan has announced her retirement as Program Director, effective May 1, 1976. Eleanor Montague will assume responsibility for the program. Maryann stated: "After working almost without vacation for 31 years, I am looking forward to a slower pace. Besides, I feel confident that we now have in Eleanor Montague, Karl Pearson, and Maryann Kevin Brown the best possible staff. This culminates my goals to rebuild the WICHE Library Program and leave it in good hands."

Louise Martin, the very able Project secretary, has been accepted into the doctoral program at Indiana University. She will leave on August 1, 1976.

III. PROJECT ACTIVITIES

Activities during the quarter were hectic, so a brief chronology of events may be helpful in fully appreciating the significance of the major events described in the following paragraphs.

In January, the bulk of Project staff's efforts was devoted to preparing for the first meeting of the organizing Steering Committee. This entailed setting up the meeting agenda, procuring the services of resource persons, preparing or obtaining background information materials so that the committee members could prepare themselves for the discussions, and making the administrative arrangements. In addition, we consulted with Erling Oelz, Associate Director of the University of Montana Library, who was charged with developing a union list of serials for Montana, and took advantage of the opportunity to develop a survey of serials data bases in the West. We also explored the possibility of handling arrangements for service between WLN and libraries outside Washington, beginning with Billings, Montana, Public and East Montana State College Libraries, whose librarians were most anxious to obtain early access to WLN. We also kept in contact with the Nevada State Processing Center Staff who were making arrangements to obtain access to BALLOTS. Eleanor Montague attended the ALA Midwinter Conference. We also published the first issue of the Western Network Newsletter (included as an appendix to the second quarterly report) as a means of informing librarians in the West about Project activities, news of which had been lacking since the Spring of 1975 after the grant proposal was submitted.

In February, the Steering Committee met to provide guidance to the Project staff in examining alternatives for an effective legal basis, governance structure, membership and funding sources, and programs for a western networking coordinating organization. While the majority of staff work for the rest of the month was based on following the suggestions of the Steering Committee, we also: drafted a sample contract for use by WLN, BALLOTS, and their potential library users; mailed out the questionnaire for the serials data base survey; discussed with Bruce Alper his proposal for Blackwell North America to supply cataloging products and services to western libraries through the networking organization; met with representatives of the Public Service Satellite Consortium (PSSC) to investigate what assistance they could provide in the telecommunications area; arranged for a free trial associate membership offer to western libraries from the Associated Colleges of the Midwest (ACM) Periodical Bank; hired Phil Long for a day as a consultant on telecommunications; and met with a task force of Colorado librarians preparing a recommendation for networking development within that state. We also published the second issue of the Newsletter (Appendix B). We arranged a meeting of network and bibliographic

directors in the West, and a second meeting in Washington, D.C. for exploring prospects for interconnecting the major bibliographic utilities.

The network directors recommended that the new organization act as a catalytic agent with responsibiilities for coordinating, communicating, facilitating and experimenting in support of - not in competition with - the existing networks. The Washington meeting resulted in a decision not to pursue at that time utility interconnection and thus another tack would have to be taken in developing a new proposal to CLR for FY 1977 funding. Four factors probably led to that conclusion: one, the meeting was too large, including too many diverse interests, to act in a decisive manner in a short period of time; two, one or two key people were unable to attend and sent delegates who were not in a position to commit their organization; three, most attenders wanted to wait until after the policy meeting to be called by the Library of Congress was held; and four, the autonomy of the utilities was sensed to be in jeopardy. Accordingly, the staff drafted (over the remainder of the month) a proposal centering on the facilitation of interstate library loan on an equitable basis. The first draft was widely circulated and received generally favorable comment. In other activities for the month, staff provided the results of the serials data base survey (Appendix C) to Erling Oelz of Montana and prepared a draft RFQ for him for obtaining price quotations (Appendix D); revised the document describing components for a western network; and prepared background materials for the April meetings of the Western Council and Steering Committee Executive Board.

A. First Meeting of the Organizing Steering Committee

The Steering Committee met in Boise, Idaho, on February 2-3, 1976. All members were present except for two state librarians who had to meet with their legislatures on budget matters, and Basil Stuart-Stubbs, who was ill; he was represented by Robert MacDonald. Project staff present were: Maryann Duggan, Eleanor Montague and Karl Pearson. Several persons were invited to serve as resources for the Committee: Kevin Bunnell, Director, WICHE General Regional Programs, who described the benefits of setting up an interstate library organization under the umbrella of the western interstate compact for higher education; T. John Metz, Executive Director of the Midwest Region Library Network (MIDLNET), who shared his experiences in establishing a multistate network with many similarities to that proposed for the West; Oscar Miller, Head Law Librarian of the University of Colorado, who discussed the various legal bases on which an interstate library organization could be set up; and Alphonse Trezza, Executive Director of the National Commission on Libraries and Information Science, who described developments on the national scene and made numerous suggestions of points to be considered in developing a western networking organization.

As outcomes of the meeting, the organizing Steering Committee:

Elected an Executive Board and Chairwoman to meet monthly with the Project staff in developing plans and programs for Steering Committee approval.

Board members are: Joanne Arnold, Chairwoman; H. Vince Anderson; Gerald A. Rudolph; Roderick G. Swartz; and David C. Weber.

Reaffirmed the need for a western network, and requested that the Project staff prepare a long-range plan for its establishment and operation. The Committee suggested several projects for the immediate future and endorsed the staff's effort to experiment with providing products and services on a pilot basis.

Endorsed the staff's submission of proposals to funding agencies for projects that are consonant with the long-range plan for western networking.

Reaffirmed that western networking be based on state-level funding and participation representing all types of libraries, with the objectives of strengthening intrastate library organization, cooperation and self-sufficiency while facilitating interstate resource sharing on an equitable basis. Funding for FY 77 will be sought through state and institutional membership fees, and future support may be requested from the state legislatures.

Moved that a proposal be submitted to the WICHE Commissioners to establish under the WICHE aegis a Directorate with its own governing board for the western network organization.

Minutes of the meeting are included in this report as Appendix A.

B. Meeting of Bibliographic Center and Network Directors

On March 2 and 3, a number of directors of bibliographic centers and networks operating in the West met in Denver to discuss the relationship of the Western Network to existing networks and bibliographic centers. Particiapnts in the meeting were: Pacific Northwest Bibliographic Center represented by Lura Currier, Director; Ralph Teague, Associate Director; and Earle Thompson, Chairman of the PNBC Board; California Library Authority for Systems and Services (CLASS) and the California State Library Union Catalog, represented by Gerald Newton of the California State Library; Bibliographical Center for Research (BCR) represented by Donald Simpson, Executive Director; Washington Library Network represented by Mary Jane Reed, Assistant State Librarian for Washington; Amigos Bibliographic Council represented by James Kennedy, Director; Midwest Regional Library Network (MIDLNET) represented by John Metz, Director; and Maryann Duggan, Eleanor Montague, Karl Pearson and Maryann K. Brown of the WICHE Continuing Education and Library Resources Program staff.

The participants in the meeting raised the point that the West--unlike other areas of the country--has several multi-state regions with long traditions of interlibrary cooperative activity. Therefore, an important aspect of western networking should involve the linking of existing multi-

state regions and their associated organizations, such as PNBC and BCR. The meeting participants identified services and tasks which WICHE could undertake in carrying out the linking function. As input to WICHE planning activities, the group suggested that the role of the library program could include aiding existing library networks and bibliographic centers in the West by providing a means for interstate and inter-regional communication, coordination, facilitation, and experimentation through activities such as:

- assisting in the development of regional machine-readable data bases;
- stimulating exchange of machine-readable records among bibliographic utilities;
- working toward lower telecommunications costs;
- assisting in the development of interlibrary loan protocols and equity of funding;
- offering a forum for inter-regional network planning;
- facilitating access to sources of objective technical expertise; and
- collecting, analyzing, reporting and maintaining pertinent library planning and cost data for regional planning and development use.

The network directors in the West agreed to the following statement:

> This group urges that the future direction of the WICHE Library Resources Program take the form of providing a coordinating role among the existing regional networking components, rather than creating any super- or overlaying-structure.

Participants were questioned concerning the role they should play in respect to a western interstate library organization, and they stated that they should constitute an advisory committee for the organization rather than participate directly in the governance structure. The group (minus the Amigos and MIDLNET directors) had last met in August 1975, and the directors suggested that more frequent meetings would be desirable. The directors also stated that the term "network" was inappropriate and misleading.

C. Meeting of the Western Council and Steering Committee Executive Board

In preparation for this meeting, Eleanor Montague drafted a working paper entitled "Western Interstate Cooperative Bibliographic Network Alter-

natives for Action" (WICHE, March 1976, 30 p. and appendices, for limited distribution only), and Maryann Duggan drafted "The WICHE Project for Continuing Education of Library Personnel: An Analytical Summary of the Past and Alternatives for the Future" (WICHE, March 1976, 67 p., for limited distribution only). Copies of both documents have been sent to CLR, and were distributed to attendees prior to the meeting. In producing these documents, it was clear that the continuing education and networking program components were closely related and would have to be discussed in conjunction with each other.

Based on guidance received to date from the terms of the CLR grant, the Steering Committee, and the bibliographic center and network directors, the "Alternatives for Action" outlined four levels of activity for an interstate, inter-regional "network" for the West (see also Appendix E):

1) Do not establish a Western Network organization.

2) Establish a Western Network to provide a region-wide forum for planning and cooperation, promote resource sharing, pursue new research and development, provide consulting expertise, conduct cost studies, help states identify needs and plan intra-state network activity, act as a clearing house for information, etc.

3) Establish a Western Network to fulfill the activities listed above and to contract for limited services to users in unserved areas or services that are not now provided.

4) Establish a Western Network to accomplish the activities of Network level 3 and to mesh the activities of existing service organizations.

The four levels focus on three critical issues.

1) Is there a commitment to a western regional library network?

2) Should it serve in an advisory, consulting and co-ordinating role or should it additionally provide services in areas that do not compete with existing service organizations?

3) Should it remain separate from existing service organizations or should there be a formal financial and operational relationship or 'meshing' into an integrated resource sharing system for the West?

Level 1 assumes that no commitment to a regional network can be identified at this time. Levels 2, 3 and 4 assume a commitment to a western network organization. Levels 2 and 3 assume a separate organization; the levels differ as to the extent of services provided. Level 4 suggests that library leaders take a look at existing service organizations and determine if any can be organizationally combined or "meshed" to form a stronger, more effective integrated whole.

Since form follows function, once a direction for the project is agreed upon, issues such as legal, organizational and membership structure fall into place.

The "Continuing Education . . . Alternatives" presented three levels of activity for that component of the WICHE program:

1) Discontinue the Project at the end of FY 1976.

2) Concentrate only on Continuing Education supportive of networking, resource sharing and library systems (employing a half-time continuing education coordinator).

3) Restructure completely and develop a full-scale Program for all levels of library personnel through each participating state (employing a full-time coordinator).

The Western Council convened on April 8 at WICHE. After considerable discussion of the networking alternatives, Roderick Swartz moved (seconded by Ethel Crockett) that "the Western Council move (in networking) toward alternative (level) number 2, with the addition of facilitating technical interconnection of autonomous existing bibliographic systems (level 3, item 3), propose a methodology for meshing the activities of existing components (level 4, item 1A), work out a strategy for building a regional data base, and determine the most effective and cost-justifiable mix of access methods to the data base (level 4, items 2B and 2C). It was the consensus of the Council that "the structure be clearly described as a catalytic forum" and that the Western Council, already in place, be the guiding force for inter-regional library cooperation and resource sharing.

A motion to move toward the third alternative for continuing education was defeated by a 3 to 4 vote. A substitute motion by Eloise Ebert (seconded by Helen Miller) was passed "that the Western Continuing Education for Library Personnel Program be supportive of networking, resource sharing and library systems." This motion purposely deleted the words "concentrate only" in the wording of the second alternative for continuing education.

Staff was requested to prepare a new budget estimate reflecting these motions for presentation at the continuation of the meeting on April 9. This new estimate indicated the need to increase Council funding for the WICHE program by about 75% in the 1977 fiscal year.

On April 9, after David Weber and Gerald Rudolph (who could not attend the April 8 meeting) were brought up to date on the activities of the previous day, the Steering Committee Executive Board met separately with Eleanor Montague while the Western Council (minus Executive Board members Anderson and Swartz) continued its meeting. The Executive Board discussed the reasons for the objections to a "Western Network" raised in letters from the directors of BCR and Amigos, and concluded that better communication between Project staff and the directors was required. In addition, the Board suggested that Project staff should restate what the focus of tasks for completing the current CLR grant should be, even if a "mid-course correction" is necessary.

David Weber moved (seconded by Vince Anderson) that: "the Executive Board urges that the future direction of the WICHE Library Resources Program take the form of providing a coordinating role among the existing regional networking components, rather than recommending the creation of any additional super or overlaying operating structure. In furtherance of this objective, the Executive Board recommends to the Western Council that it provide a region-wide forum for planning and cooperation, promote resource sharing, pursue new research and development, provide consulting expertise, conduct cost studies, help states identify needs and plan intrastate network activity, act as a clearinghouse for information, etc."

The Board also moved to support the Western Council motion respecting the appropriate level of activity for the networking component of the WICHE program, and to recommend that the "coordinating activity" continue to be headquartered at WICHE. Two other motions were made:

David Weber moved (seconded by Vince Anderson) that: "The Executive Board recommends to the Project Director that current CLR Grant 'products Nos. 5, 7 (partially), 8, 9, 10, 11, 13, 14 and 15 be accomplished in close collaboration with appropriate representatives of the three bibliographic centers and the three predominant utilities or bibliographic systems through a series of meetings, to be scheduled by the May 4 Executive Board meeting."

David Weber moved (seconded by Gerry Rudolph) that: "It is the Executive Board's recommendation to the Western Council that a further definition of each CLR grant 'product' be prepared with requisite budget adjustments, for Western Council approval and renegotiation with CLR."

While the Executive Board was meeting, the Western Council voted to accept grants from USOE for developing a library statistical data base and from CLR (if offered) for facilitating equitable interstate sharing of library resources.

A joint meeting of the Council and Executive Board took place on the afternoon of April 9. The Executive Board motions were reviewed. The proposal from Blackwell was briefly discussed, and was rejected as being a form of "brokering" which a coordinating organization should not perform. The meetings concluded with the Western Council accepting the recommendation of the Steering Committee Executive Board that the Western Network Project be renamed the Western Interstate Library Coordinating Organization (WILCO). The Council also indicated a desire to extend membership to directors of major libraries and library groups, particularly in states that are not Western Council members currently.

In summary, the outcome of these meetings was the establishment of the WILCO program in WICHE as the embodiment of the resource sharing coordinating function assumed as the responsibility of the Western Council of State Librarians. This recognizes the key position of the state librarians as being responsible for both intrastate and interstate cooperation activities. While developing state-based networks, the state librarians also finance (at least partially) and participate in the governance of the regional bibliographic centers.

D. Miscellaneous Activities

Staff surveyed six union serials data bases in the West (or nearby) that could be a potential base on which the State of Montana might build a union list. The resultant Montana data base would have to be of suitable format and quality to allow it to be added economically to the WLN data base, for example. Of the data bases surveyed, and of the capability of the data base managers to assist another state, the Minnesota Union List of Serials (managed by MINITEX) appears to be most suitable.

After considerable discussion between and among the parties involved, the pilot project in which the Billings, Montana Public Library would gain on-line access to WLN is currently in abeyance. Billings is considering sending punched cards to WLN on a batch basis to begin building its machine-readable file. It was decided that, for the present, Billings and WLN should deal directly with each other rather than through WILCO.

WICHE joined the Public Service Satellite Consortium on April 1, with the Library Resources Program as main beneficiary and supplying the WICHE representatives to PSSC. At a meeting with James Potter of PSSC, we outlined library telecommunications requirements and indicated an immediate need for better service. Potter stated that PSSC is considering becoming a broker of telecommunications services, utilizing both satellite and terrestrial transmission facilities of the common carriers.

On April 12, William J. Welsh, Deputy Librarian of Congress, and Henriette D. Avram, Special Assistant for Network Planning in the Office of the Librarian co-chaired a meeting, attended by Maryann Duggan, to "explore the requirements for and possibilities of increased cooperation among the

major components of the evolving national system." The Council on Library Resources, Inc., funded the travel costs for the ten invitees, which included representatives from OCLC, WLN, BALLOTS, NELINET, AMIGOS, RLG, University of Chicago, SOLINET, NCLIS, CLR, CCLN, and WILCO.

In anticipation of LC playing a more positive role in network planning at the national level, this was one of a series of meetings with various groups to clarify "the question of the proper relationships among the developing systems and the Library of Congress." Some of the activities suggested as appropriate for LC were:

- centralized input of MARC records;
- provision of machine-readable authority files;
- provision of bibliographic data in various formats (in addition to MARC Communication Format);
- on-line access to bibliographic data bases and authority files;
- monitor and investigate telecommunications requirements;
- conduct studies and do national planning on alternative sites for an optimal number of bibliographic data base locations;
- conduct studies and formulate national policies on system interfaces and interconnection, and record exchange;
- clarify and recommend geographic and functional areas of responsibilities for existing networks;
- continue to develop new services; and
- assist existing bibliographic utilities in developing activity plans for the next five to ten years.

We at WILCO are pleased to see the Library of Congress taking this much needed leadership role in national planning, coordination and operation.

E. Presentations and Publications During the Quarter

Karl Pearson spoke to the Denver chapter of the Special Libraries Association on March 17, primarily on the subject of telecommunications needs for western libraries.

Issues 1 and 2 of the Western Network Newsletter were published.

Both a draft and a final version of "A Review of Potential Components for a Western Bibliographic Network" were published. CLR gave its

permission for the sale of the document on a cost-recovery basis after initial distribution has been made. The final version included the results of the surveys we have made of the CLSI LIBS 100 circulation control systems and union serials data bases.

The "Minutes of the Western Network Project Organizaing Steering Committee Meeting" were published.

Two limited distribution working papers exploring alternatives for WILCO and the WICHE Continuing Education and Library Resources Program were distributed to the Western Council, Steering Committee Executive Board and CLR.

A proposal for "Facilitating Equitable Interstate Sharing of Library Resources in the West" was submitted to CLR.

On March 4 and 5, Maryann Duggan attended the WICHE Commissioners annual meeting in Los Angeles, California. The Commissioners approved the grant proposals that had been submitted by the WICHE Library Program.

IV. PLANS FOR THE NEXT QUARTER

The guidance provided by the Steering Committee Executive Board and the Western Council will be translated into detailed programs and budgets for completing the current CLR grant and for obtaining funding for the WILCO Program for the coming fiscal year. The next meeting of the Steering Committee Executive Board is scheduled for May 4, with a second meeting scheduled for June 4. Several members of the Western Council are planning to meet with CLR staff during a mid-May meeting of the Chiefs of State Library Agencies (COSLA) in Washington.

Two to three meetings with bibliographic center and network directors and their governing boards will be scheduled as the means for completing a number of the tasks for the current CLR grant developing a blueprint for orderly and collaborative development resource sharing in the West over the next three years, and for improving communication. As part of the Cost and Funding Studies portion of the Project, we will work with the staff of the Pacific Northwest Bibliographic Center to examine ways and means for making more effective use of that organization's capabilities.

Eleanor Montague and Karl Pearson are scheduled to make presentations on WILCO at state library association meetings in Oregon, Washington, Idaho and Montana. Maryann Duggan will take part in the Special Libraries Association annual meeting to be held in Denver in June.

The third quarter's activities have resulted in the establishment of an organization to coordinate networking development in the West, one of the major goals of the CLR grant. In the next quarter, using the work required for completing the other goals of the grant as a springboard, we expect to lay out the tasks necessary to draw together the components for

the western library network into an integrated structure of utilities, data, distributors and users to provide western library patrons with access to the full resources of the region and the nation.

V. FINANCIAL REPORT SUMMARY

The detailed financial report is contained in Appendix F.

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A. Minutes of the Western Network Project Organizing Steering Committee Meeting, Boise, Idaho, February 2-3, 1976

B. Western Network Newsletter No. 2

C. Results of Survey of Union Serials Data Bases

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E. Possible Levels of Western Network Activities and Organization

F. Financial Report

G. USOE Cost and Funding Study Summary

H. Record of Distribution

APPENDIX A

MINUTES OF THE WESTERN NETWORK PROJECT ORGANIZING STEERING COMMITTEE MEETING

Boise, Idaho

February 2-3, 1976

WESTERN NETWORK

N-13

MINUTES OF THE WESTERN NETWORK PROJECT ORGANIZING STEERING COMMITTEE MEETING

Boise, Idaho, February 2-3, 1976

Western Network Project
Western Interstate Commission for Higher Education
Boulder, Colorado
February 18, 1976

CLR Grant 614

SUMMARY OF ACTIONS AND RECOMMENDATIONS:

ORGANIZATIONAL STEERING COMMITTEE MEETING

Boise, Idaho, February 2-3, 1976

The Western Network Organizing Steering Committee:

Elected an Executive Board and Chairwoman to meet monthly with the Project staff in developing plans and programs for Steering Committee approval. Board members are: Joanne Arnold, Chairwoman; H. Vince Anderson; Gerald A. Rudolph; Roderick G. Swartz; and David C. Weber.

Reaffirmed the need for a Western Network, and requested that the Project staff prepare a long range plan for the Network's establishment and operation. The Committee suggested several projects for the immediate future and endorsed the staff's effort to provide bibliographic products and services on a pilot basis.

Endorsed the staff's submission of proposals to funding agencies for projects that are consonant with the Western Network long range plan.

Reaffirmed that the Western Network be based on state-level funding and participation representing all types of libraries, with the objectives of strengthening intrastate library organization, cooperation and self-sufficiency while facilitating interstate resource sharing on an equitable basis. Funding for Fiscal Year 1977 for the Network will be sought through state and institutional membership fees, and future support may be requested from the state legislatures.

Moved that a proposal be submitted to the WICHE Commissioners to establish under the WICHE aegis a Directorate with its own governing board for the Western Network.

MINUTES OF THE WESTERN NETWORK PROJECT
ORGANIZATIONAL STEERING COMMITTEE MEETING

Boise, Idaho, February 2-3, 1976

The meeting was opened at 1:00 P.M., February 2, 1976, by Dr. Ernest W. Hartung, Chairman pro tem. The meeting was conducted in accordance with procedures and agenda prepared by Project staff (see Attachments). Steering Committee members present were:

Norman D. Alexander, Oregon
Kenneth S. Allen, Washington
Joseph J. Anderson, Nevada
Joanne E. Arnold, Colorado
James H. Burghardt, Oregon
C. Edwin Dowlin, New Mexico
Roger K. Hanson, Utah
Ernest W. Hartung, Idaho
K. L. Janecek, North Dakota
Helen M. Miller, Idaho
Edythe Moore, California
Richard J. Neuman, Kansas
Gerald A. Rudolph, Nebraska
H. Theodore Ryberg, Alaska
Roderick G. Swartz, Washington
Eda Taylor, Arizona
Margaret Warden, Montana
David C. Weber, California

Robert MacDonald represented Basil Stuart-Stubbs, University of British Columbia. William H. Williams and H. Vince Anderson could not be present because they had to meet with the legislature in their states on budget matters.

WICHE Library Program Network Project staff present were:

Maryann Duggan, Program Director
Eleanor Montague, Project Director
Karl M. Pearson, Jr., Systems Analyst

Resource persons present were:

Kevin Bunnell, Director, WICHE General Regional Programs
T. John Metz, Executive Director, The Midwest Region Library Network (MIDLNET)
Oscar Miller, Head Law Librarian, University of Colorado
Alphonse Trezza, Executive Director, National Commission on Libraries and Information Science (NCLIS)

Observers present one or both days were:

Eloise Ebert, State Librarian, Oregon
William Hays, Director, Boise Public Library
Dianne Norman, Extension Librarian, Boise Public Library
Evva Larson, Assistant Librarian, Idaho State Library
Kathleen Folger, Reference Librarian, Idaho State Library
Garry Bettis, Librarian and Archivist, Idaho State Library
David Andresen, Acquisition Librarian, Boise State Univ.

After introductions, Helen Miller read a letter of greetings from Governor Andrus of Idaho. Joseph Anderson, Chairman of the Western Council of State Librarians for the Continuing Education and Library Resources Program, conveyed a message of interest in the Project from Ethel Crockett, California State Librarian and Vice Chairman of the Western Council. Eleanor Montague then reviewed the chronology of the Project from its inception in 1974, and described the Project's location within the WICHE organizational structure. She listed the main points in the Council of Library Resources (CLR) grant for the Project and pointed out that the ultimate measure of success of the grant would be obtaining endorsement and funding by member states and institutions of the Western Network designed by the Project. Eleanor also drew the Committee's attention to the Summary of the Cost and Funding Studies supported by a grant from the U.S. Office of Education (USOE) and the "Review of Potential Components for a Western Bibliographic Network" distributed to members prior to the start of the meeting. (See attachments for an accounting of funding sources for the library resources projects.) Joe Anderson then briefly described a Nevada networking cost and feasibility study being performed by a network design team in that state; it is intended to fit in with activities of the Western Network.

Al Trezza then described national developments in networking. He pointed out that NCLIS is a permanent organization that is independent of both the executive and legislative branches of government. Although this provides the Commission the opportunity to speak freely, there is no power base by which to implement any Commission recommendations. Al pointed out that the national plan for networking published by the Commission, after two drafts were thoroughly discussed nationwide, is a dynamic document open to change as needed in the future, and will probably be revised in two years. The goal of the plan is to provide all citizens with the right of access to all public information, and all citizens should be insured a basic minimum of library and information service, with special services for special constituencies. The plan includes:

- building on existing state-based library systems;
- basic and continuing education for information and library service staffs;
- coordinating existing federal information programs and resources;
- encouraging the private sector to be an active partner in national networking;
- establishing a locus of federal responsibility for national network coordination; and
- establishing the Library of Congress as the national library and determining its roles in relation to national networking.

* U.S. National Commission on Libraries and Information Science. Toward a National Program for Library and Information Services: Goals for Action. Washington, D.C., 1975, 106 p.

Al stated that NCLIS could not set priorities for elements in the plan because this is the responsibility of the persons around the country affected by the plan. NCLIS also did not put a price tag on the plan because it was impossible to arrive at a figure that had any validity. NCLIS currently has projects underway in all areas of the plan except that of establishing a locus of federal responsibility. Vernon E. Palmour is heading a study to determine the need for one or more national periodicals centers; upon completion in December, 1976, NCLIS will prepare a recommendation for legislation and funding. The Library of Congress is studying how it should interface with bibliographic utilities such as BALLOTS (Stanford University), Washington Library Network (WLN), and the Ohio College Library Center (OCLC). NCLIS and the National Science Foundation (NSF) are preparing to fund studies of national interlibrary loan patterns and consideration of funding and copyright issues.

Al then addressed the role of multistate networks, pointing out that there is a difference between "full service" networks concerned with facilitation and coordination and "computerized" networks that exist only to broker automated bibliographic utilities. The national network is envisioned as having three main jurisdictional levels: local, state and federal. Thus, multistate networks, to have a provable reason for being, must be based on the political power and assured funding base of member states rather than on individual libraries within the multistate area. Al suggested that each state should be responsible for network operations and that the multistate network role was one of interstate coordination and planning. The state five-year plans for library development should feed into the multistate network's own five-year plan, and the plans should be modified each year and be intensively revised every other year. Al recommended that the Western Network take a two-pronged approach, both developing a long-range plan and performing short-range projects that will provide immediate results. As one example of the latter, he suggested high-quality cataloging of state documents in a form suitable for national distribution through COMARC (Cooperative MARC).

Dr. Hartung then appointed Joseph Anderson, Roger Hanson and Richard Neuman as a nominating committee and charged them with nominating five persons to serve as an Executive Board for the Steering Committee. The Executive Board will act for the Steering Committee in providing frequent guidance to the Project staff over the five month period leading to the formal establishment of the Western Network as an organization with its own policy-making body.

The Committee then proceeded to a discussion of critical issues as identified by the Project staff (see Attachments). Joanne Arnold suggested that some structure within WICHE, such as that for the WAMI (Washington-Alaska-Montana-Idaho) program in medical education, might be appropriate for the Western Network. In response to a question from David Weber regarding the grant "deliverable" of an organizational plan, Eleanor Montague stated that the staff needed Steering Committee inputs to help staff accomplish the preparation of the plan. Ernest Hartung pointed out that WICHE's role as a neutral agency among the states allows it to act as a transfer agent for state funds for the student exchange program, and suggested that the Network would need similar status. Margaret Warden agreed, pointing out that state legislatures recognize WICHE and could provide funds directly as well

as through state libraries. Joe Anderson and Ed Dowlin pointed out that there are ways to service states that do not belong to the WICHE compact, and Ernest Hartung pointed to the role of NCHEMS (National Center for Higher Education Management Systems) as a national organization that operates under the WICHE structure.

Discussion of the need for immediate products versus a long-range plan led to the conclusion that both were required. Without immediate products, Ed Dowlin pointed out, New Mexico could not have a basis to participate in the Network; but long-range implications must also be demonstrated. Al Trezza raised the problem of net lending imbalances among the states, and Ernest Hartung suggested that there was a similarity between student exchange and book exchange, so that WICHE could act as a fund transfer agent for reimbursing the net-lending states, with the Network providing management and accounting services. The WICHE Commission sets the rates that the sending states pay for student exchange. In response to questions from Ken Allen and Ted Ryberg on where funds would come from to pay for interlibrary loan which traditionally has been performed gratis, Al Trezza stated that charges for loans are becoming quite common. Several persons commented on the needs and problems of within-state interlibrary loan. It was suggested that WICHE, as an agency of each state in the compact, might help state librarians to develop strong state networks and advise on equitable funding formulas for intrastate loans.

Margaret Warden commented that, if Western Network funding were to be sought from state legislatures, at least two years lead time would be required because of the biennial budgeting process in some states. She noted that recent large increases in TWX rates have had a serious impact on library budgets, and suggested that the Network might help libraries in making efficient use of telecommunications. Joe Anderson suggested that librarians should focus on the information transfer process as a whole and go after funding for a whole package of cost-effective resource sharing activities rather than concentrate on individual line items in a budget. Ernest Hartung suggested that a portion of the funding for resource sharing could be provided by reallocating some current expenditures to support network services. Al Trezza suggested that library budgets should be broken down to demonstrate the effects of inflation, adherence to the library's long-range plan, and the use of supplemental services procured from networking arrangements. Margaret Warden suggested that states might increase their budgets for WICHE to provide support for the Western Network. However, Ken Allen and Roger Hanson pointed out that the WICHE budget is being questioned at the moment in Utah and some other states.

Eleanor Montague requested the Committee's guidance on striking a proper balance for allocating Project staff effort between providing computer-based products and services immediately for Network participants while studying what functions might be appropriate for the future. David Weber answered by stating that a major benefit of the Network would be to expand access to the collections of local and regional libraries. Computer-based services should be provided to reduce technical processing costs and reallocate the savings to support more use of interlibrary loan. In turn, increased interlibrary loan activity may permit libraries to reduce purchases of materials that have a low likelihood of use, thereby providing

more funds for reallocation to increasing services or building collections in highly-used areas. A key to improvement of interlibrary loan is to add the holdings of a large number of libraries in the region to data bases being built by the computer-based bibliographic utilities. Any contracts the Network enters into with the utilities must specify the right to extract data contributed by Network libraries from the utilities' files.

In the evening, the nominating committee presented its report (see Attachments). The slate of Vince Anderson, Joanne Arnold, Gerry Rudolph, Rod Swartz and David Weber was unanimously elected by the Steering Committee to serve as the Executive Board. At a breakfast meeting of the Board on February 3, Joanne Arnold was elected as Board and Committee Chairwoman.

In the evening session on February 2, John Metz, Executive Director of MIDLNET, described that network's organizational history and indicated many parallels with the western experience. The richest institutions in the Midwest were the most interested in forming the network, perhaps because, having been in the forefront of automation research and development, they were first to recognize the problems that could be alleviated by more resource sharing. Libraries in the region spend about $400,000,000 annually; a cost reduction of just 1% would provide up to $4,000,000 for supporting a network. Having no interstate compact such as WICHE in the Midwest, MIDLNET organized as a nonprofit corporation for the sake of speed; the network may try to set up an interstate compact in the future as there is time to obtain enabling legislation in each state.

While MIDLNET currently is engaged in planning and considering the roles that local, state, multistate and national networks are taking, it is also intended that some service activities will get under way in the near future, particularly in developing a regional cataloging data base through use of the OCLC or University of Chicago systems. Other activities in which MIDLNET might engage are: operate a data and voice communications network, perform an annual review of state and local library planning documents, coordinate development of union lists and use of CONSER (Conversion of Serials Project) data, improve access to state and local documents, coordinate interstate delivery systems, develop a regional service compact so a citizen of one jurisdiction could use libraries in other jurisdictions, deliver continuing education programs on bibliographic standards, and employ a circuit-riding reporter to collect information on local library research and development activities. MIDLNET has an annual budget of $70,000 and has members from seven states: Minnesota, Wisconsin, Michigan, Iowa, Illinois, Missouri and Indiana.

In discussion following John Metz's presentation, Roger Hanson suggested that a network might provide training in collection and use of management statistics, in addition to actually preparing reports for smaller libraries. Edythe Moore thought that special libraries would be enthusiastic network participants if a more suitable data base than MARC were available. Al Trezza pointed out that federal library use of OCLC was creating a data base useful to special libraries. He also warned that adding holdings statements to serials records was a tough and time-consuming task.

On the morning of February 3, the agenda was changed to begin with the discussion of possible Network services. Maryann Duggan described the various activities of the WICHE Continuing Education and Library Resources Program. She listed three grant proposals that have been submitted for FY 77 funding: (1) training 44 librarians in performing cost analysis, (2) developing and experimenting with a multistate on-line location file to support interlibrary loan, and (3) developing a library statistical data base within the National Center for Higher Education Management Systems (NCHEMS) data collection and analysis structure.

Eleanor Montague then posed the requirements for developing the Western Network. Of first priority, an organization must be established and decisions must be reached regarding funding, membership, and the legal basis for the Network to provide staff continuity and a policy-setting structure. Immediate objectives for the Network should include: arranging with existing computer-based utilities to provide bibliographic products and services for western libraries not presently served, with the proviso that such services contribute to building a multistate bibliographic data base; establishing linkages among the various networks operating in the West; and supporting state organizations for cooperative library development. During the grant period, action research projects - such as the ones proposed for Montana libraries to test the use of WLN and for the Nevada state processing center to test the use of BALLOTS - must be carried out to gather operational experience in making use of these networking components. Projects to be undertaken would include development of economical telecommunications services, recommendation of equitable and effective interlibrary loan protocols, regional bibliographic and location data base development, interfacing with national networking plans and activities, and training all levels of library staffs in making effective use of the network. As a long-range objective, the Network should foster the technical interconnection of bibliographic systems in line with national developments and projects underway at the Library of Congress. Also, cooperation with other networks will help reduce redundant effort.

David Weber pointed out that top priority should be given to developing a five-year plan for the Network, integrating the short-term action research projects and showing how they might lead to longer term benefits for Network participants. As a result of the discussion, it was agreed that staff would prepare a long-range plan for the Western Network and have a draft ready for review by the Steering Committee by April 1, 1976.

Al Trezza repeated that current funding for the Project ended after June 1976 and asked if the states were prepared to fund the continued operation of the Western Network. Gerry Rudolph suggested that it would be possible to get states to put up money to get the Network going. Al Trezza and Rod Swartz pointed up the necessity for using the long range plan as a basis for requesting state funding. Joe Anderson and Rod Swartz agreed that states would probably be able to provide some funds over the short term to continue the project while working on a long range goal to obtain continuing funding through legislative action. FY 78 or FY 79 is seen as the earliest time that Network funding could be obtained through legislation.

Ken Allen pointed out that over the short term, the Network must produce tangible benefits for state participation. David Weber proposed six short-term projects: (1) prepare a packaged staff training program for making use of bibliographic utilities; (2) provide bibliographic utility services to libraries; (3) coordinate the cataloging and distribution of catalog records via COMARC for state documents; (4) develop an interlibrary loan reimbursement plan; (5) exchange data tapes among the utilities; and (6) experiment with satellite communications. Norman Alexander suggested that each state should provide $10,000 per year for the next three years on a flat fee basis to support the Network. He pointed out that it is a real benefit to the states to have the Network staff performing projects such as coordinating union list development and helping libraries such as those in Billings to make use of utilities such as WLN. Al Trezza summed up the discussion: the first step is to prepare a long-range plan. The plan will describe in detail the projects to be performed in FY 77. State library agencies and other institutions will then be asked to make at least a one-year commitment to fund basic Network activities described in the plan.

Steering Committee members were then surveyed as to the probability of their states or institutions contributing $10,000 to sustain the Network over the next year. Representatives from six states thought that, given a good plan, their states or institutions would contribute. The Arizona, Kansas, North Dakota and University of British Columbia representatives could not speak for their states or institutions at this time. The remainder of the representatives were more doubtful that their states could contribute, but in no case was there a flat "no." Two key issues were raised in the discussion: the relationship of the funding of the Pacific Northwest Bibliographic Center (PNBC) and the Bibliographic Center for Research (BCR) to funding for the Network, and the relationship of Network funding to the contributions currently made by Western Council states for the WICHE Continuing Education and Library Resources Program.

Oscar Miller then discussed the legal basis for organizing as a non-profit corporation, as an authority, or as an association. An association is based on a commonality of interest among the members, but has few formal or legal powers. An authority, as exemplified by the New York Port Authority, is self-sustaining from user fees, has a wide scope of activity specified by state or federal governments, and has regulatory and advisory functions. A non-profit corporation is a device that allows a group to organize quickly, protects members from personal liability, and may qualify for tax-exempt status if the corporation does not engage in trying to influence legislation. In response to a question from Margaret Warden, Oscar stated that there were ways in which a state or other entity could provide funds to a particular WICHE program directly, regardless of state membership in the WICHE compact or its contribution to WICHE as a whole. For example, South Dakota is a member of and contributes to the WICHE Continuing Education and Library Resources Program, although the state is not a member of the WICHE compact.

Kevin Bunnell discussed generalized and specialized interstate compacts. A generalized compact, such as the one establishing WICHE, can be interpreted as allowing the organization to undertake almost anything its members wish. A specialized compact, such as the library compacts already existing in many states, narrowly defines the scope of activities that

can be performed, and furthermore such compacts may require that member states be contiguous. Under the WICHE compact, programs may have a high degree of autonomy. For example, NCHEMS bylaws are approved by WICHE commissioners but all other policies, grant seeking and operations are determined solely by the NCHEMS board of trustees, who may be appointed from any political jurisdiction within or without the WICHE compact area. The only additional control that WICHE has over NCHEMS is the right the WICHE Commissioners have to vote to discontinue the arrangement altogether.

A federal-interstate compact, as urged by Harry Martin in a report prepared for the Southwest Library Association and in a Library Trends article, has the advantage of obtaining assured federal participation and funding. However, the enactment of such a compact would be a lengthy process. Either the non-profit corporation or interstate compact basis for the Western Network could be changed at some future time to the federal-interstate compact basis without legal difficulty.

A major advantage to the WICHE compact is that WICHE is considered an agency of each compact state. Not only does this provide a sound political base within each state, but also it facilitates fund transfers among state agencies. Ed Dowlin stated that New Mexico could not pay a non-profit corporation in advance for services, not even for a depository account. California also cannot pay "front end" monies to a non-profit corporation, which is why CLASS is being organized under a joint exercise of powers agreement.

Ernest Hartung moved: That the Steering Committee entrust the Executive Board with the immediate direction of working out, with the Network staff, the details for an organization with a broad-based governing structure (perhaps changing the Steering Committee as now constituted to some kind of governing board) and preparing a proposal to the WICHE Commissioners to establish a Directorate for the Western Network under the WICHE aegis. The motion was seconded by Joseph Anderson and was passed unanimously. The meeting was adjourned at 12:15 P.M. on February 3.

Following the adjournment, the Executive Board met with Project staff. Meetings of the Board were scheduled for early March, April 9 in Boulder, May 4 in Seattle, and June 4 at Stanford. A full Steering Committee meeting was scheduled for July 17 in Chicago prior to the ALA convention. All dates and locations are subject to change.

ATTACHMENTS:

Organizing Steering Committee Agenda

Proposed Organizational and Operating Procedures for the Organizing Steering Committee

Report of the Nominating Committee

Critical Issues Facing the Organizing Steering Committee and the Western Network Project

Funding Sources for Continuing Education and Library Resources Program

WESTERN NETWORK - ORGANIZING STEERING COMMITTEE

Boise, Idaho, February 2-3, 1976

AGENDA (Revised)

Monday, February 2, 1976

1:00-1:30 P.M. (Malheur Room)	Welcome; introductions; agenda review; Steering Committee charge (E. Hartung)
1:30-2:30 P.M.	Orientation and project status; review of existing networks (E. Montague)
2:30-3:15 P.M.	National Commission of Libraries & Information Science (NCLIS) - an update (A. Trezza)
3:15-3:25 P.M.	Coffee
3:25-3:30 P.M.	Appointment of Nominating Committee
3:30-5:00 P.M.	Issues facing the Steering Committee (feedback discussion from each Steering Committee member)
5:00-6:00 P.M. (Owyhe Room)	Social Hour; Nominating Committee meeting
6:00-7:30 P.M. (Shoshone Room)	Dinner meeting (no program)
8:00-8:15 P.M. (Malheur Room)	Report of the Nominating Committee; Election of Executive Board members
8:15-9:30 P.M.	Report on and discussion of the organizing of the MIDLNET network (J. Metz)

Tuesday, February 3, 1976

7:15-8:15 A.M.	Breakfast meeting of Executive Board; elect Board officers
8:15-8:30 A.M.	Board meeting with project staff
8:30-10:15 A.M. (Malheur Room)	Legal and organizational alternatives for the Western Network: A discussion (K. Bunnell, O. Miller, M. Duggan)
10:15-10:30 A.M.	Coffee
10:30-11:30 A.M.	Proposed products and services and implementation timetable, grant applications (open discussion)
11:30-12:00 P.M.	Summary; identification of action items; timetable (Chairman, project staff, open discussion)
12:00-1:00 P.M.	Lunch meeting (Executive Board and project staff)

Organizing Steering Committee Chairman:

Dr. Ernest W. Hartung, President
University of Idaho

Resource People:

Dr. Kevin Bunnell, Director
Division of General Regional Programs, WICHE

Maryann Duggan, Director
Continuing Education & Library Resources Program, WICHE

T. John Metz, Executive Director
MIDLNET

Oscar Miller, J.D., Head Law Librarian
University of Colorado, Boulder

Eleanor A. Montague, Director
Western Network Project, WICHE

Karl M. Pearson, Jr., Systems Analyst
Western Network Project, WICHE

Alphonse F. Trezza, Executive Director
National Commission of Libraries & Information Science (NCLIS)

THE WESTERN NETWORK

ORGANIZING STEERING COMMITTEE MEETING

Boise, Idaho, February 2-3, 1976

PROPOSED ORGANIZATIONAL AND OPERATING PROCEDURES FOR THE ORGANIZING STEERING COMMITTEE

The following organizational structure and procedures for operating during the Council on Library Resources grant period are presented for review and discussion.

I. Steering Committee, Executive Board

A. The Steering Committee has the responsibility to oversee and coordinate network activities; to review and approve what is to be done; to set directions and policy; and to communicate to their broad constituencies.

B. Dr. Ernest Hartung will serve as the chairman of the first meeting until a permanent chairman is named (see "Executive Board" below).

C. The Executive Board has the responsibility to act for the full Committee when the Committee is not in session and to report all Board activities to the full Committee at each meeting. The Executive Board will work closely with project staff.

D. The Executive Board will be nominated by a Nominating Committee of the Steering Committee at the first meeting. The Board will consist of five members. The Board will elect a chairman, who will also serve as the chairman of the Steering Committee.

E. For the Committee and the Board, a quorum will consist of a simple majority of members. A majority vote of those present, providing there is a quorum, will be sufficient to transact all business.

F. The chairman may call meetings of the Board or the Committee at such time and place as deemed necessary; the place and date of the meetings will be announced in advance. All meetings will be open, except when personnel matters are discussed.

G. Questions of operating procedure not covered herein will be taken under consideration and decided by the chairman.

H. The Network Project Director will act as Secretary to the Committee and the Board.

II. Project Staff

A. The Project Director, project staff and grant principal investigator are authorized to: contract, hire, disburse funds, prepare and publish documentation; fulfill the terms of the grant awards, determine technical and financial feasibility; design; implement network products and services; and train users (all consistent with WICHE policies and procedures). The project staff will work closely with the Executive Board.

III. State Design Teams

A. Each state library agency will appoint and fund a design team representing libraries of various types in the state. Each design team will help relate state plans, resources and requirements with the services and needs of the network.

REPORT OF THE NOMINATING COMMITTEE

February 2, 1976

Mr. Chairman:

The Nominating Committee reports that the following persons have been contacted and consented to serve as members of the Executive Board of this Steering Committee:

David Weber, Stanford University
Rod Swartz, State Librarian, Washington
Joanne Arnold, WICHE Commissioner, Colorado
Gerry Rudolph, University of Nebraska, Lincoln

Vince Anderson, State Librarian, South Dakota, is nominated. Attempt to reach him by phone will be made tomorrow, seeking his consent to serve. The Committee feels that this slate of nominees is in conformance with the criteria and your charge to us.

Respectfully,

Joseph J. Anderson
for the Nominating Committee

THE WESTERN NETWORK

ORGANIZING STEERING COMMITTEE MEETING

Boise, Idaho, February 2-3, 1976

CRITICAL ISSUES FACING THE ORGANIZING STEERING COMMITTEE AND THE WESTERN NETWORK PROJECT

1. What are the feasible legal alternatives for the organization of a permanent western interstate bibliographic network? What are the pros and cons of each alternative? Are there any network operating requirements that would be impossible in a given legal or organizational alternative?

2. What is the most efficient and effective organizational structure for the network that will allow, for example:

   a. balanced representation of the various constituencies on the policy-making level.

   b. a clearcut mechanism to assure that goals, objectives, and priorities of members are communicated to network management.

   c. greatest flexibility for network participation in planning for a national network with: the National Commission, the Library of Congress, other regional networks, State Library agencies, academic consortia, and suppliers of services and products.

   d. sufficient scope of authority for network management to make timely and efficient decisions.

   e. sufficient authority to require individual network members to operate in accord with agreed-upon network policies.

3. What is the most reasonable membership structure for the network: contracts with a state, with systems or groups within a state, with multi-state networks (e.g., BCR), with individual institutions, or a combination? Is the assumption correct that libraries of all types and sizes are to be considered in planning for network products and services?

4. What is the most equitable funding formula for the operations of the network? (At a minimum, the components of this question include membership fees (one time and/or annual) and products/services pricing. It is assumed that the network would be free to seek research and development funds from state, local, federal, etc. sources.)

5. How can the network strike a balance between orderly and systematic planning for a network and the delivery of services, products and access to bibliographic data bases for network users? How can network management realistically prioritize the delivery of products and services?

That is, can the Western Network (1) deliver service/product options to its users (of all types) such that the user derives maximum benefit and the network survives, and (2) at the same time plan for and design a cooperative regional network.

6. A basic requirement for the network is firm commitments to inter-dependent action and mutual trust. How can Steering Committee members and the project staff help achieve this commitment and trust?

7. Are there ways in addition to a grant proposal to attract the design money needed for the technical interconnection of systems such as WLN, BALLOTS? Are there additional agencies besides CLR that should be approached? When system interconnection becomes a reality, a national issue is: what is the most efficient and effective distribution of bibliographic and holdings data? Also, what system or systems will a local library use to access this data? Does it matter? What safeguards should the network establish now to capture member's cataloging records? What immediate regional products could these records be used for?

8. What should the network be called? This is not a "critical" issue, but it is an issue. "The Western Network" has been used to date. It has been suggested that an easy to say and reference name would be helpful. How about "WESTNET?"

FUNDING SOURCES FOR CONTINUING EDUCATION AND LIBRARY RESOURCES PROGRAM

July 1, 1975 - June 30, 1976

Annual Membership Fees from ten states	$103,570
Council on Library Resources Grant Initiating the Design and Development of A Western Interstate Bibliographic Network	79,325
USOE Research & Demonstration Grant A Proposal for Conducting Cost and Funding Studies Concerning Development & Implementation of A Western Interstate Bibliographic Network	65,135
USOE Training Grant Training in Staff Development	29,944
TOTAL	$277,974

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All of the following received one copy except as indicated.

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Western Network Steering Committee (21)

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Joseph J. Anderson, Nevada
H. Vince Anderson, South Dakota
Joanne E. Arnold, Colorado
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Members not on Steering Committee:

Richard B. Engen
Marguerite B. Cooley
Ethel Crockett
Alma Jacobs
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Western Network State Design Team Chairpersons (13)

Others:

Alphonse Trezza, Executive Director, NCLIS
Henriette D. Avram, Chief, MARC Development Office, Library of Congress
Paul Janaske, USOE Program Officer
Lura Currier, Director, Pacific Northwest Bibliographic Center
Donald Simpson, Director, Bibliographical Center for Research
Sheila Thornton, California State Library Union Catalog
Mary Jane Reed, Washington Library Network
Hank Epstein, BALLOTS
T. John Metz, Executive Director, MIDLNET
Oscar Miller, Head Law Librarian, University of Colorado
Kevin Bunnell, Director, Division of General Regional Programs (WICHE)

APPENDIX B

WESTERN NETWORK NEWSLETTER No. 2

WESTERN NETWORK NEWSLETTER

March 1976 No. 2 ISSN: 0360-4764

STEERING COMMITTEE MEETING

The first of two scheduled Western Network Steering Committee meetings convened in Boise, Idaho on February 2-3, 1976, under the Chairmanship pro tem of Dr. Ernest Hartung, President, University of Idaho. Traveling a total of 22,000 miles from all corners of the West, the Steering Committee:

- Reaffirmed the need for a Western Network, and requested that the Project staff prepare a long-range plan for the Network's establishment and operation. The Committee suggested several projects for the immediate future and endorsed the staff's effort to provide bibliographic products and services on a pilot basis.
- Endorsed the staff's submission of proposals to funding agencies for projects that are consonant with the Western Network long-range plan.
- Reaffirmed that the Western Network be based on state-level funding and participation representing all types of libraries, with the objectives of strengthening intrastate library organization, cooperation and self-sufficiency while facilitating interstate resource sharing on an equitable basis. Funding for Fiscal Year 1977 for the Network will be sought through state and institutional membership fees, and future support may be requested from the state legislatures.
- Moved that a proposal be submitted to the WICHE Commissioners to establish, under the WICHE aegis, a Directorate with its own governing board for the Western Network.
- Elected an Executive Board and Chairwoman to meet with the Project staff in developing plans and programs for Steering Committee approval.

An Executive Board of the Steering Committee was unanimously elected. Dr. Joanne E. Arnold, a WICHE Commissioner and Acting Vice-Chancellor for Faculty and Staff Affairs of the University of Colorado, is Chairwoman of the Board and the Committee. Other Board members are: H. Vince Anderson, Director of the South Dakota State Library Commission; Gerald A. Rudolph, Dean of Libraries of the University of Nebraska; Roderick G. Swartz, Washington State Librarian; and David C. Weber, Director of University Libraries of Stanford University. The Board will work closely with the Project staff, and has scheduled meetings on a monthly basis during the organizational period for the Network.

All Steering Committee members (listed in Western Network Newsletter, No. 1) were present except for two state librarians who at the last minute were called to attend legislative sessions and an ARL director who was ill and sent a representative. In addition to the Project staff attending (Maryann Duggan, Eleanor Montague and Karl Pearson), the Committee benefited from the presence of Dr. Kevin Bunnell, General Regional Programs Director of WICHE; Alphonse Trezza, Executive Director for the National Commission on Libraries and Information Science (NCLIS); T. John Metz, Executive Director of the Midwest Regional Library Network (MIDLNET); and Oscar Miller, Head Law Librarian of the University of Colorado. Several observers were present, including Eloise Ebert, Oregon State Librarian, William Hayes, Director of the Boise Public Library, and other Idaho librarians.

Western Interstate Commission for Higher Education

UNION LIST OF MONTANA SERIALS

Erling Oe z, Director of Public Services, University of Montana Library, and also head of a Montana Library Association committee to develop a union list of serials for that state, has requested Network advice and assistance in developing the union list as part of an LSCA-funded statewide project. The Network staff is making a survey of existing union serials data bases that might be a suitable starting point for generating a Montana list. A guiding principle for this project is to develop a serials data base that could easily be merged with (if not based upon) the WLN serials file and with CONSER records. Such a merger would promote development of a multi-state union serials data base for the West.

SATELLITE COMMUNICATIONS

WICHE is considering membership in the Public Service Satellite Consortium (PSSC). PSSC has its antecedents in the Satellite Technology Demonstration (STD) project of the Federation of Rocky Mountain States that experimented with the ATS-6 satellite in the early 1970s to provide communications (primarily instructional videocasts) to remote areas. PSSC plans to acquire the equipment left in place at the conclusion of the STD project and may procure channels on NASA's recently-launched CTS satellite or other satellites owned by common or specialized communications carriers such as Western Union. John Witherspoon, PSSC President, and two staff members visited WICHE recently and expressed interest in bringing together potential satellite users in the public sector to begin defining their functional requirements for telcommunications services. The Western Network will work closely with this group to explore applications for libraries in the West.

FAST SERVICE FOR ILL REQUESTS FROM ACM PERIODICAL BANK

In keeping with our goal to encourage evaluation of potential improvements in services, we have arranged a pilot project with the ACM (Associated Colleges of the Midwest) Periodical Bank, located in the Newberry Library, Chicago. During the pilot project period, which runs through June 30, 1976, the Bank will grant free trial associate memberships. Associate memberships normally cost $250/year. Thus, any western library, either directly or through a bibliographic center, may make use of ACM services through June without paying any membership fee.

The ACM Periodical Bank maintains a non-circulating collection of about 2,000 journals selected from all subject areas including popular publications to provide coverage for about 70% of requests. The Newberry Library has a strong collection in the humanities and the American Indian. The Bank also has access to other major libraries in the resource-rich Chicago area such as the John Crerar, North Suburban Public Library System, and the university libraries of Chicago, Northwestern, and Illinois. The Bank fills interlibrary loan requests for journal articles from members within hours, if from its own collection, or within one or more days if from another library's holdings. Requests can be submitted via TWX, telephone, or mail. Total response time including delivery averages 5-6 days. Charges for the service are: $1.00 for the first exposure, and $.20 for each additional exposure; one exposure frequently includes two pages.

The pilot project provides western libraries with an opportunity to explore the advantages of supplementing their own services with fast delivery for periodical articles. Libraries using on-line reference services should find the ACM Periodical Bank especially valuable for meeting patron needs for fast document delivery. Contact Karl Pearson at (303) 492-7730 to obtain your trial membership or to request more information. The Western Network, along with the Bank, will evaluate the results of the project. If there is interest in making this service available in the West, the Western Network will work with the states, networks and bibliographic centers to establish a permanent arrangement.

COST AND FUNDING STUDIES

Under terms of a grant from the U.S. Office of Education, with support from the WICHE Western Council of State Librarians, the Western Network Project is conducting cost and funding studies to support the development and implementation of a western network, while contributing to research in methodology, modeling and evaluation of library costs and network funding alternatives. Maryann Kevin Brown and Anita McHugh, with assistance from the rest of the Project staff, are performing these studies. The studies have four primary goals:

- To determine representative costs of present library services without network support;
- To estimate future costs of library services at various levels of proposed network support;
- To evaluate and compare the impact of network support levels on costs for library services; and
- To examine and recommend equitable programs of financial support for an interstate bibliographic network in the West.

Cost and interlibrary loan traffic data will be collected by means of a questionnaire survey of a stratified random sample of 100 libraries in the West. The strata for the sample include: state library agencies, large academic libraries, other academic libraries, large public libraries, multi-county "regional" libraries and other public libraries. All libraries which fall into these categories, or strata, have been identified and the sample has been drawn. Letters of invitation to participate are in the mail to the libraries selected; data collection instruments will be mailed in March. Twelve libraries in the sample are being invited to participate in a more extensive data collection effort over a three-week period to obtain detailed costs for the various subtasks involved in major technical processing activity areas.

Data collection will focus on technical processing and interlibrary loan operations likely to be affected by network support. In addition to basic data on collection size and development, volume of activity in acquisitions and cataloging, and volume and types of interlibrary loan transactions, the survey will develop data on cost elements such as direct labor, administrative and supervisory labor, support services, telecommunications, equipment and supplies. The data collection instruments developed for the study will be available for the use of any library wishing to use them as tools in their own evaluation of internal operations. In the future, the Western Network will offer cost analysis services to members on a contractual basis.

Vernon E. Palmour, consultant to the Project, designed the sampling methodology. Ronald Miller, Executive Director of NELINET, is serving as an evaluator for the studies.

Reports on sample design, data collection methodologies, and funding alternatives will be made available as they are ready. Watch for announcements in future issues of the Newsletter.

BALLOTS TRIAL IN NEVADA

The Nevada State Processing Center is arranging a trial of BALLOTS as a means for obtaining machine-readable cataloging data for the state union catalog. BALLOTS will provide catalog records for Nevada materials on tape for input into Nevada's own catalog file maintenance system. The Center may also utilize WLN programs to create records in MARC format on a batch mode basis.

WESTERN NETWORK PUBLICATIONS

The following Network documents are available at cost:

A Review of Potential Components for a Western Bibliographic Network (Catalog #28121), February 1976, 70 p. $2.50. Briefly describes many of the organizations and agencies in the western states that might play a role in the Network, describes the computer-based bibliographic utilities and some of the data bases available for Network use, and discusses telecommunications requirements and services available.

Initiating the Design and Development of a Western Interstate Bibliographic Network: First Quarterly Report, July-September 1975, 101 p. $3.00. Includes a short history of the events leading up to submission of the proposal to CLR to design a western interstate bibliographic network. (Only limited supply available.)

Cost and Funding Studies of the Proposed Western Interstate Bibliographic Network: First Quarterly Report, July-September 1975, 114 p. $3.00. Describes the goals and methods for the studies and summarizes initial activities. Includes a preliminary bibliography of library cost literature (138 citations).

Requests for documents should be addressed to Publications Unit, WICHE, P. O. Drawer P, Boulder, Colorado 80302. Please include payment with your request.

NETWORKS AND BIBLIOGRAPHIC CENTERS MEET

On March 2-3, the Western Network will host a meeting of the directors for other state and multistate networks and bibliographic centers operating in the West: MIDLNET (Midwest Regional Library Network), Amigos Bibliographic Council, CLASS (California Library Authority for Systems and Services), PNBC (Pacific Northwest Bibliographic Center), BCR (Bibliographical Center for Research) and WLN (Washington Library Network). The purpose of the meeting is to explore areas for internetwork cooperation and joint activities.

LOOKING AHEAD

The next few months will be busy ones for the Network staff. In keeping with Steering Committee recommendations, activities will reflect a dual concern for establishing long-term network directions and goals and for providing products and services for libraries in the immediate future. Activities include:

- Developing a long-term network plan - the Steering Committee requested a multi-year plan of action for the Network.
- Preparing recommendations on the legal, governance, membership and funding structure of a permanent network organization - the Committee recommended establishing, under the WICHE aegis, a Western Network Directorate with its own governing board (similar to the National Center for Higher Education Management Systems).
- Implementing the Network structure approved by the Executive Board and Steering Committee.
- Making contacts with various vendors and other sources for bibliographic products and services - this is in line with Committee recommendations to supply immediate products and services.
- Developing pilot projects, such as those in Montana.
- Meeting with other networks and bibliographic centers operating in the region to identify areas of mutual interest for cooperation.
- Planning for new research and development projects.

FOR MORE INFORMATION ON THE WESTERN NETWORK

If you would like information on the Western Network project or if you would like to be added to the Newsletter mailing list, please write or call Ms. Eleanor Montague, Project Director, Western Network Project, WICHE, P. O. Drawer P, Boulder, Colorado 80301, (303) 492-8150.

WESTERN NETWORK
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APPENDIX C

RESULTS OF SURVEY OF UNION SERIALS DATA BASES

N-16/000/01

SURVEY OF UNION SERIALS DATA BASES IN THE WEST

INTRODUCTION

The Western Network Project staff in February 1976 conducted a survey of organizations in the West or close by that maintain a union serials data base. The purpose of the survey was to identify data bases that would make a suitable starting point for creating a union list of serials for the state of Montana.

Nine organizations maintaining a serials data base were identified:

University of Denver
California State Library: California Union List of Periodicals (CULP)
Portland State University: Oregon Regional Union List of Serials (ORULS)
Washington Library Network (starting with the serials list of the University of Washington)
East Washington State College: Spokane Area Combined List
University of Minnesota: Minnesota Union List of Serials (MULS)
Stanford University
University of California
California State University and Colleges

The data bases of the California universities were not included in this survey since they do not include public and special library holdings that would be desirable in creating a state-based union list and because of their large size.

The Western Network Project staff wishes to take this opportunity to thank the librarians responding to the survey. Each of them invested a great amount of effort in answering all questions most completely and in furnishing additional descriptive material. This is very concrete evidence for the strength of the cooperative spirit in the West.

UNIVERSITY OF DENVER (DU)

Under the leadership of Ward Shaw, Associate Library Director, DU recently created a union list of serials and associated data base for four Colorado universities, the Denver Public Library, and a medical library. Since the major objective of the project was to produce a finding tool as rapidly as possible, no time was spent on developing complete and authoritative records. The resulting product is a simple title-holdings statement list that fulfills the basic requirement. The file structure is non-MARC. The character set is imited to uppercase.

CALIFORNIA UNION LIST OF PERIODICALS (CULP)

The California State Library staff, under the direction of Gerald Newton, Chief, Technical Services Bureau, produces this union list which includes many public and community college libraries throughout the state, as well as special libraries in the northern California region. Records for main entries do not include abbreviated titles, publisher, LCCN, or language, but ISSNs are entered. Publication place is indicated when necessary to distinguish between similar titles. Cross references are being added for variant titles. Data in the file have been verified against standard sources, and it is estimated that 90% of the entries are accurate. Filing rules are programmed, and are thus simpler than LC filing rules for dictionary catalogs. The file structure is MARC(S), with an upper and lower case character set, but without diacritics. Half of the entries have been verified against NUC, NST, etc. About 10% of the entries are known to be inaccurate, mainly because they are misidentified or are entered under the wrong title.

CULP is being expanded to cover more junior college and public libraries and to include special libraries in southern California. New editions are being published on microfiche twice a year. The State Library is willing to provide modest assistance to libraries in other states in developing their own union lists.

OREGON UNION LIST OF SERIALS (ORULS)

Daphne Hoffman has been in charge of producing this union list representing many of the academic and junior college libraries in the state of Oregon, together with several special libraries and the Library Association of Portland (the city's public library). Main entries are relatively complete except for publisher, language and (unfortunately, perhaps, for a capability for linking to CONSER records) LC card number (LCCN) or International Standard Serials Number (ISSN). Cross-references are included to link current titles with earlier or different versions of the titles. Data in the file have been verified against NUC, NST, etc., and entries are considered to be authoritative. Entries are filed according to a numeric code that is manually assigned. The file structure is non-MARC, and only uppercase characters are used.

The ORULS project will cease operation after June 1976, and no firm plans have been made regarding any continuation or a disposition for the data base. Staff had hoped that a follow-on project might provide for merging ORULS with the WLN data base, or at least for adding LCCNs and ISSNs.

WASHINGTON LIBRARY NETWORK (WLN)

The Washington Library Network's new on-line system is scheduled to be operational with serials records in the Summer of 1976. Initially, serials records are expected to come from two sources: the University of Washington, and MARC and CONSER records distributed by LC. The existing UW serials data base has brief records; during the conversion and loading of these records into the WLN data base, UW staff are expanding the records somewhat to include more data elements. In the Fall of 1976, ten other Washington libraries (mostly public) are expected to begin adding their serials holdings. Authority control for names and subjects is a feature of the WLN system, and will be applied to serials as well as monographic records.

The WLN file structure and data character set is full MARC. The Rather filing rules are programmed to cause entries to appear in approximately the same locations as provided by the LC filing rules for dictionary catalogs. Records entered in the WLN data base will be highly authoritative and in conformance with LC standards. Separate working files, as accessible to users as the main data base, will be established for records that have not been validated for inclusion in the main data base.

Although WLN has not yet produced a serials list, it has published a printed union catalog of monographic holdings for several Washington libraries over the past few years. COM capabilities are available at the state Data Processing Service Center. For further information, contact Mary Jane Pobst Reed, Associate State Librarian for Research and Planning (Automation), Washington State Library.

SPOKANE AREA COMBINED LIST - EAST WASHINGTON STATE COLLEGE (EWSC)

Charles H. Baumann, College Librarian, and Joan Tracy, Assistant Librarian for Technical Services, have developed a sophisticated system to produce a union list for all types of libraries in the Spokane area and the Tacoma Public. Main entries are relatively complete except for publisher and place of publication. There is some categorization by 30 general subject areas, but subject headings are not included. LCCNs and ISSNs are included, and all variant titles are cross-referenced. Data have been verified against NUC and NST, and are considered to be authoritative and of high quality. Entries are filed in accordance with LC rules by means of a manually-assigned numeric code. The file strucutre is non-MARC, and only uppercase characters are used.

To date, the list has been produced and distributed by the Spokane Public Library in printed form. While a microfiche form has not been tried yet, EWSC feels that a local service bureau would be able to do that work. Baumann has expressed interest in assisting other libraries in using the Spokane area list and the EWSC system to develop their own union lists.

MINNESOTA UNION LIST OF SERIALS (MULS)

As a base for the CONSER project, developed under the direction of Alice E. Wilcox, Director of MINITEX and Lois N. Upham, Data Base Manager, MULS is perhaps the best-known serials data base. Its coverage is extensive, both in terms of the number of serials titles included and in the number and types of libraries whose holdings are represented. Records are structured in a MARC(S) form with minor variance, and entries are more complete than in the other data bases surveyed. Both LCCNs and ISSNs are included, and variant titles are cross-referenced. Data have been verified against NUC, NST, LC Depository Catalog and other sources, and are considered to be highly authoritative. Entries are filed by computer algorithm, leading to occassional misfilings which are being corrected as found, and there are some variances from traditional filing rules (although these variances tend to lead to a more simplified filing structure). Holdings statements appear to be more extensive and readable than in other lists. A full MARC character set including diacritics is used.

North Dakota contracts with Minnesota to produce that state's union list: To date, this has been a satisfactory arrangement, and North Dakota holdings are being included in the next published edition of MULS (scheduled for April), which will be produced on microfiche. The MULS staff will create new records as needed from title pages for journals and submitted by participating libraries, thus maintaining a high degree of control over the quality of the data base.

SUMMARY

Major points on which the serials data bases can be compared are listed on the attached chart. The first line lists the number of serials titles (exclusive of cross-references) in each of the six data bases. The next rows list the number and types of libraries included in each data base. For CULP, no breakdown of special libraries by type is available. For MULS, the list of libraries and special collections (many of which are a part of the University of Minnesota) has been interpreted somewhat arbitrarily to develop the figures shown, which are only estimates.

The next row indicates whether or not titles are cross-referenced with their variants. No attempt has been made to estimate how inclusive these cross-references are in each data base. For some data bases, the computer is programmed to cause entries to be filed in the appropriate place on the union list; for the other data bases, proper filing positions are designated by assigning a number to an entry that will cause it to appear at the location desired. Computer filing rules are advantageous in that they do not allow inadvertent misfilings. However, they are much simpler than the LC filing rules for dictionary catalogs and are subject to implementations that overlook certain peculiarities appearing in text. For example, initialisms may be written in several ways, such as A.C.M, A. C. M., or ACM; unless a standard form is programmed for purposes of computer sorting, entries with variant forms may be scattered in the listing.

SUMMARY (cont.)

The richness of the record structure used in each data base and its "goodness of fit" to the MARC(S) format is suggested in the next row. In general, CULP, WLN and MULS come close to the MARC(S) standard, suggesting that a relatively costly conversion process would be necessary to merge the other data bases into a regional or national union serials file.

The next set of rows indicates what data elements are included in the serials records. Without an LCCN or ISSN, a title cannot be matched easily to serials records from CONSER or other sources. No national standard has been established for identifying libraries; the existing NUC codes are established mainly for large academic and public libraries, and do not include the smaller libraries. It might be desirable to establish identity codes for libraries that designated their state and locality as well as providing for branches and special collection locations. The "modified NUC" entries indicate that the state designator has been deleted; "local" codes usually are abbreviations for libraries' names.

The assessment of the authoritativeness of their data base was made by each survey respondent. All the data bases except for EWSC and DU are being maintained on IBM equipment, which may indicate that no computer-related constraints would hinder a possible merger or transfer of those data bases. Only the MULS and (when available) WLN data bases use the full MARC character set. CULP has both upper and lower case characters, but the remaining data bases are limited to upper case only. Only the ORULS and CULP data bases have been output on microfiche via a COM photocomposition device to date, although the next MULS edition will be produced by this technique. As with bookform catalogs, the cost of producing and distributing printed union lists is far higher than for microform versions.

The structure and content of holdings statements in the various data bases is suggested in the next row. "Brief" indicates that statements are short (possibly a bit on the cryptic side) and do not include call numbers. "Structured" indicates that the content of holdings statements is specifically defined; "highly structured" indicates that specific subfields are defined for portions of a holdings statement.

DATA BASE	DU	CULP	ORULS	WLN-UW	EWSC	MULS
SERIALS TITLES	?	70,000	45,000 by Jul 76	50,000 by August 76	7,231	77,785
LIBRARIES REPRESENTED IN DATA BASE:				MARC records, too		
Research	4	0	3	1	0	1
Academic	0	0	24	1	4	39
Junior College	0	75	13	?	3	14
Public	1	130	2	?	3	40
School	0	0	0	?	2	0
Law	0	?	2	?	2	5
Medical	1	?	1	?	7	48
Business	0	?	1	?	1	2
Scientific & Technical	0	?	1	?	3	14
Historical	0	?	1	?	1	1
Other Special Libraries	0	150	2	?	2	28
TITLES CROSS REFERENCED	no	partial	yes	yes, names too	yes	yes
FILING RULES	extensive	extensive	LC (all manual)	Rather;extensv.	LC (All manual)	Extensive
RECORD STRUCTURE	350 chars;title & holdings	MARC(S), incomplete	7 fields, 80 char records; up to 99/entry	MARC(S)	35 fields, variable length, + header	MARC(S), modified
DATA ELEMENTS						
Abbreviated Title	no	no	yes, but not as a cross-ref.	no	partial	yes
Former Title	no	yes	yes	no	yes	yes
Publisher	no	no	no	no	no	yes
Place of publication	no	partial	yes	no	no	yes
Classification	no	no	LC, Dewey, or SuDocs holding state	Dewey & NLM, partial	LC, SuDocs	in Holdings element
Subject Headings	no	no	no	no	no	no
LC Card Number	no	no	no	yes, partial	yes	yes
ISSN	no	yes	no	yes, partial	yes	yes
Language	no	no	no	no	non-roman only	yes
Active or Other Status Indicator	no	yes	partial	no	for EWSC only	no
Scope and/or Listing Note	no	yes	yes	no	yes	no
Holding Library Code	local	modified NUC & local	local	NUC	modified NUC	NUC + local
Holdings Statement	brief structured	brief structured	brief highly struct.	highly structured	structured	highly structured
AUTHORITATIVENESS	low	moderate	high	moderate (to be very high)	high	very high
COMPUTER	B6700	IBM 370/165	IBM 360/40	IBM 360/65	UNIVAC 70/7	IBM 360/148 VS
CHARACTER SET	Upper case	Upper & lower case	Upper case	Full MARC	Upper case	Full MARC
COM PRODUCTION	No	Yes, by Zytron & state contract	Service bureau in Portland w/ state contract	Provided by state	No, but could contract for	Trying it out in April, 76

APPENDIX D

DRAFT RFQ FOR MONTANA UNION LIST OF SERIALS

P. O. Drawer P, Boulder, Colorado 80302 • (303) 449-3333

APPENDIX D

WICHE

Western Interstate Commission for Higher Education

an equal opportunity employer

March 11, 1976

Mr. Erling Oelz
Director of Public Services
University of Montana Library
University of Montana
Missoula, Montana 59801

Dear Erling:

As promised, we are sending you a package of material containing the results of our serials data base survey and a draft RFQ that you may wish to issue to obtain firm price estimates for producing the union list of Montana serials.

Analysis of the data base survey responses suggests that Minnesota's MULS would be most suitable as a foundation for the Montana union list. Karl Pearson spoke with Cheryl Bailey on the staff of the North Dakota State Library. She was responsible for coordinating a union list for that state that was produced by Minnesota. She reported that at least half of her time was necessary for overseeing the union list creation, and that now a quarter of her time is required for coordinating maintenance and updating. North Dakota has been pleased with the list. The only drawbacks to MULS are the size of the data base (which may make it a little difficult to work with in locating titles held in the smaller Montana libraries) and the lack of experience to date in producing microfiche copies. However, the MULS list is due to be produced on a computer-output-microfilm (COM) device next month.

Second choice would be the East Washington State College (EWSC) Spokane Area Combined List. This is a much smaller data base. While it might be easier to work with than MULS, it is likely to contain fewer of the titles held by Montana libraries. Furthermore, the data base structure is not similar to MARC(S), as MULS is, and has upper case characters only. It would thus be more difficult and expensive to convert to a format capable of input to the WLN system. However, there might be some side benefit to East Washington State College in making such a conversion as a step in the Montana project, and the region as a whole should benefit if the data base were added to WLN later this year.

If the Spokane Area data base were to be used, two alternatives should be explored. The first alternative would be to have EWSC do the whole job for you. This would require you to pay close attention to the cost estimate for converting the data base for input to WLN. Furthermore, EWSC does not yet have experience in producing microfiche lists. The second alternative would be to purchase a copy of the EWSC data base and have a vendor such as Blackwell North America produce the Montana union list for you. Should you choose this alternative, you may wish (or may be required by state regulations) to contact other vendors such as Inovar, Auto-Graphics and Science Press for price quotations. I am of the opinion that Blackwell is equipped to do the job for you in a satisfactory manner.

As one more alternative, you might want to consider the California State Library, which would be willing to assist you in the same manner as Minnesota. CULP does have upper and lower case, and is in the MARC(S) format, but does not include academic libraries.

Even if the organization selected to produce the union list offered to provide editorial assistance for creating new records and adding Montana holdings to existing records, I see a need for at least a half-time person in Montana to be responsible for the day-to-day coordination of the participating libraries in preparing their holdings statements or lists and in performing the necessary proofing of entries. Perhaps this person could also assist in preparing a follow-on proposal and in publicizing the union list project to Montana libraries.

The draft Request for Quotation (prepared by Karl Pearson) that is enclosed consists of a basic letter to be addressed to Minnesota (and perhaps to California) and EWSC, together with an addendum to the EWSC letter and a second letter to Blackwell to deal with the alternative described above of having a vendor produce the Montana list based on the EWSC file. Note that each quote is requested to include an estimate for the cost of converting the Montana data base for input to WLN; the quoters should discuss the technical details on which their estimate is based directly with the Washington State Library staff person designated in the RFQ draft.

As you will note, not all the data bases available to you are in MARC(S) format. For your purposes, you probably do not need this full format; however, WLN's data base will require full MARC. Thus, you have a choice of converting to MARC as a part of your union list project or waiting until you combine your list with WLN. If and when you decide to join with WLN, I assume there will be a substantial overlap between your data base and WLN's. For records that match, your holdings could just be added to WLN's record. Then, only unique records would have to be upgraded to full MARC. Since every record going into WLN will have to be checked for quality

control anyway, perhaps it would be cheaper to upgrade to full MARC at this point. In seeking your firm price bids, any cost of upgrading to full MARC should be carried as a line item so you can evaluate it separately.

As I see it, your decision alternatives concerning WLN are clear. Since WLN is not ready to handle you now, you can wait for WLN or you can go ahead and get a union list up now. If you choose the latter alternative, you should ensure that you could join with WLN in the future and you should be aware of the estimated cost (provided by WLN) of adding your data base to WLN. For this last item, remember WLN will review (and change if necessary) your records for quality control regardless of the data base or its format. After recent communication with Mary Jane Reed and Rod Swartz, I really believe that these two are the major alternatives. There was conversation about WLN supporting an interim project to collect Montana holdings in preparation for the on-line system but this would just be another project in the midst of a busy implementation schedule for WLN.

If we can be of any further assistance to you in developing the Montana union list, please do not hesitate to ask. Good luck, and I think you are well on the way to an excellent product of which all Montana librarians will be proud.

Sincerely,

Eleanor A. Montague
Project Director
Western Network Project

EAM:lm

cc: Karl Pearson
Alma Jacobs

SUBJECT: Request for Quotation

TO: Ms. Alice E. Wilcox
Director, MINITEX
Wilson Library
University of Minnesota
Minneapolis, Minnesota 55455

Mr. Gerald D. Newton
Chief, Technical Services Bureau
California State Library
Box 2037
Sacramento, California 95809

Mr. Charles H. Bauman
College Librarian
Eastern Washington State College
Cheney, Washington 99004

Dear _____:

As you know, we in Montana (with the assistance of the WICHE Western Network Project staff) have been exploring several routes toward setting up a union list of serials for the state. We have now reached the point at which we need to have firm cost estimates on which to base a final decision. We would appreciate receiving your price estimate by March 31, 1976 for providing Montana with the assistance, services and products described below.

The attachment to this letter lists the Montana libraries that may choose to join the union serials list project, and estimates the number of serials titles that they hold. It is likely that only 15-20 libraries (including the University of Montana) will be represented in the first edition of the union list, for a total of approximately 17,000-19,000 holdings. No estimate has been made for the number of titles expected to appear in the first union list edition. Day-to-day coordination of the project will be the responsibility of a Serials Editor appointed by Montana.

The union list project has three objectives for the first edition:

a) Be produced (probably on microfiche) for distribution not later than August 1976;

b) Result in a machine-readable data base that can be easily and economically merged with CONSER records when distributed by the Library of Congress and with the serials data base of the Washington Library Network's (WLN) on-line computer system expected to be operational in the Fall of 1976; and

c) Be capable of economical update and expansion during the 1977 fiscal year regardless of whether the data base is merged with WLN's.

We expect to follow the method described below in preparing data for the union list. However, if you wish to suggest a better and more economical procedure, please base your quotation on that.

1. Each library participating in the project will receive a recent listing of the contents of the serials file selected as the base on which the Montana list will be built. (Libraries having fewer than 400 holdings could share the list with another library if this sharing would make a significant contribution to reducing costs.)

2. Quoter will provide instructions by which Montana libraries may designate by means of a simple identification code which titles they hold and may prepare the appropriate holdings statements. The libraries should not have to duplicate any information already contained in the selected data base other than the record identifier.

3. The quoter will instruct the Montana Serials Editor in preparing original records for serials that are not currently in the selected data base.

4. After the Serials Editor has checked the forms for adding holdings statements to existing records and for adding new records, they will be sent to the quoter for keyboarding and generation of the Montana union list data base.

5. Quoter will produce a proof listing, by library, for distribution through the Serials Editor to the Montana librarians concerned. The proof listing will include all appropriate cross references to the main entry titles. The proof listings, marked to show desired connections, and accompanied by forms for any additional holdings not reflected on the proof listings, will then be returned through the Serials Editor to quoter.

6. Quoter will make the indicated changes to the Montana data base and produce one union list for each participating library
The data base, on magnetic tape, will aiso be delivered to the Serials Editor. A price for additional microfiche copies of the union list should also be indicated. Specifications for the microfiche union list are:

a. Entries are to appear in columnar format, with human-readable dictionary headings at the top of each column. Columns should run the length of the microfiche sheet.

b. The reduction ratio should be 24X.

c. An upper- and lower-case character set should be used. If diacritics cannot be placed over the character to which they apply, they should be deleted, without leaving a blank.

d. Titles should be printed in boldface.

To meet our objective for merger of the Montana data base with WLN's and with CONSER records, your quotation should include an estimate for planning purposes for conversion of the Montana file to the MARC(S) format required for input to the WLN system. Mr. Ralph Franklin of the Washington State Library (206) 753-5592, may be contacted for assistance in developing your estimate.

Should you need additional information, please call me.

Sincerely,

Erling R. Oelz
Director of Public Services

enc.

cc: Alma Jacobs, Montana State Librarian
Eleanor Montague, Western Network Project Director
Ralph Franklin, Washington State Library

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Add as last paragraph to letter to Bauman

We would also like to explore the alternative of purchasing a copy of your data base for the purpose of having Blackwell North America perform the services described above. As a byproduct of our project, your data base would probably be reformatted to a structure which could be input, with little additional cost, to the WLN data base. Blackwell would not retain possession of the data base in any way. If this approach is possible, would you please set a price for our use of your data base.

cc: Bruce H. Alper, Blackwell North America

Mr. Bruce H. Alper - Vice-President
Technical Services Division
Blackwell North America, Inc.
10300 S.W. Allen Boulevard
Beaverton, Oregon 97005

Dear Mr. Alper:

Enclosed is a letter requesting quotations for developing a union list of serials for the state of Montana. If we were to purchase a copy of East Washington State College's Spokane Area Combined List data base, and were to request you to furnish the services listed as Steps 1 through 6, what would be your estimated price?

Please note that one requirement would be to restructure the data base for subsequent input to the WLN on-line system expected to be operational in the Fall of 1976. We believe this structure to be the MARC(S) format, but there may be some variance. The structure of the East Washington State College records are shown in the attachment to this letter; you may contact Joan Tracy there for additional information.

Sincerely,

Erling R. Oelz
Director of Public Services

enc.

cc: Alma Jacobs, Montana State Librarian
Eleanor Montague, Western Network Project Director
Charles H. Bauman, East Washington State College Librarian
Ralph Franklin, Washington State Library

APPENDIX E

POSSIBLE LEVELS OF WESTERN NETWORK ACTIVITIES AND ORGANIZATION

(Table in "Alternatives for Action")

POSSIBLE LEVELS OF WESTERN NETWORK ACTIVITIES AND ORGANIZATION

Characteristics \ Levels	#1 Do not establish a Western Network	#2 Establish a Western Network to provide a region-wide forum for planning and co-operation	#3 Establish a Western Network to provide a forum for planning and cooperation and to contract for limited services	#4 Establish a Western Network to provide a forum for planning and cooperation and to mesh the activities of existing service organizations
Network Objectives 1/ and Services, Programs and Activities Related to Each Objective	1. Complete CLR and USOE proposal tasks 2. Disseminate results 3. Issue final report, including accomplishments, findings and recommendations 4. Distribute Cost Study findings, quantitative data and data collection instruments	PLUS: 1. Coordinate network planning and development in the West A. provide a forum for cooperative and coordinated planning and development B. facilitate regional research and development programs to reduce redundant development and identify new areas of research C. provide a formal communication link among the major components of the network in order to exchange information and keep up-to-date on new research and development, special projects and specialized resources and expertise. D. attract grants for on-going research and development for the region E. disseminate findings to policy and funding decision makers F. provide a voice for influencing national network planning 2. Provide access to objective consulting sources and expertise in the region A. identify specialized expertise in the region B. facilitate access to this expertise C. maintain staff expertise in new technologies, systems and cost analysis; make staff available to network members in the West D. gather specialized information, upon request for network members	PLUS: 1. Provide access to bibliographic services in areas currently unserved A. assist in identifying unfilled needs in areas not currently served. B. help evaluate alternative services in terms of requirements C. negotiate contracts for a variety of bibliographic services and products and access to data bases D. help install, train and evaluate services; help set up local policies to make maximum use of the new services E. promote standards for the input of bibliographic and holdings data in keeping with regional cooperation and compatability 2. Develop and provide access to services not currently offered A. through activities similar to those listed in 1 above, assist in identifying or developing new services of all types and making these available either directly from the Western Network or by contracting with commercial or private vendors 3. Facilitate technical "interconnection" of autonomous existing bibliographic systems A. actively work with the major bibliographic systems to promote coordinated development, "record interchange," terminal interchangeability, common communications protocols B. promote system compatability in light of planned developments at the Library of Congress	PLUS: 1. Mesh the activities of existing service organizations to achieve an efficient multi-state resource sharing system that meets the needs of western libraries A. study existing components in the West and propose a methodology for meshing the activities that could result in a reasonable, cost beneficial, effective multi-state system with a broad range of activities; a meshing of this type would reduce redundant development, open the door for funding, and give the region a firm operational foundation on which to build B. provide a long-term, stable mechanism for regional planning and development 2. Build an integrated machine-readable data base (both bibliographic and holdings) and authority file for the West A. identify current union catalogs and machine-readable data bases B. work out a cost-beneficial strategy for building a regional machine-readable data base C. determine the most effective and cost justifiable mix of access to the data (on-line, fiche, etc.) D. work with LC to gain access for the region to machine-readable authority files; mesh this with the regional catalog development 3. Provide telecommunications services to access regional and national systems and data bases A. identify communications requirements and current services B. design the most economical system to reduce communications costs C. act as a bulk purchasing agent to reduce costs

1/ For a discussion of the role of the network in matters of Continuing Education, see the accompanying paper on Continuing Education. If CE alternative #2 is chosen, network alternatives 2-4 would provide network CE services. If CE alternative #3 is chosen, the network would coordinate CE with the WICHE program. The network might also develop a networking CE program to complement network activities.

Characteristics \ Levels	#1 Do not establish a Western Network	#2 Establish a Western Network to provide a region-wide forum for planning and co-operation	#3 Establish a Western Network to provide a forum for planning and cooperation and to contract for limited services	#4 Establish a Western Network to provide a forum for planning and cooperation and to mesh the activities of existing service organizations
Network Objectives 1/ and Services, Programs and Activities Related to Each Objective		3. Provide a clearinghouse for information A. actively maintain information on available systems and services and their use, cost, availability, etc. B. maintain files on new hardware, technologies and communication systems C. make information available to network members D. provide a focal point for needs expressed in the region 4. Plan cooperative resource sharing and material delivery programs A. provide an established mechanism to address problems of and propose solutions for improving resource sharing, including: o standardized ILL policies o system for recompense for net lenders o cooperative collective development o material delivery o access to bibliographic location information	C. provide a focal point for communicating user needs to system operators D. provide a focal point for planning orderly use of new technologies and generations 4. Plan for a regional machine-readable data base A. design and pilot test a machine-readable data base, including non-book materials, supportive of regional ILL policies and library operations B. plan for ways to capture machine-readable data not currently represented, such as government documents or specialized collections 5. Develop and experiment with new systems and services A. identify possibilities for new services and products, using new technologies B. disseminate information on new services C. help implement and evaluate pilot projects; disseminate findings	D. standardize communication interfaces, especially in light of emerging distributed mini-computer networks E. provide a forum to discuss the requirements of mini-computer networks for library processing 4. Provide computer support services to libraries in the West A. identify computer capabilities and data bases available in the West; provide a focal point to identify ways of extending these capabilities to libraries in the West B. serve as a contracting agent for products and services from systems (like OCLC) and access to data bases C. objectively evaluate alternative sources of computer support
Role/ Responsibility of State Library	1. As a governance body for the Western Network project, the Western Council of State Librarians is responsible for participating in the decision not to establish a Western Network	Roles + responsibilities include: 1. in governance of network, to serve at the advisory and executive levels and set policies, provide guidance and evaluate network performance against objectives. 2. to fund the network as members 3. to encourage that state-based systems, centers and networks cooperate with and participate in the network forums 4. to implement state-wide network projects and to appoint state design teams 5. to inform state leaders of network developments 6. to evaluate new proposals and projects	PLUS: 1. to help identify service and product needs in the state, communicate the needs to the network staff, implement services and identify unserved areas in the state 2. to review state-based bibliographic center, network and system participation in network cooperative planning and to plan for technical interconnection of the bibliographic systems and networks 3. to provide a test environment for new products and services 4. to participate in the planning for a regional machine-readable data base 5. to evaluate the use of services offered by the network, including contracting services	PLUS: 1. to recommend an efficient and effective means of meshing existing service organizations 2. to implement and guide the resulting multi-state resource sharing system 3. to participate in the building of an integrated machine-readable data base and a regional telecommunication system 4. to utilize bibliographic services and products in the state system 5. to participate in the long-term planning for the region

POSSIBLE LEVELS OF WESTERN NETWORK ACTIVITIES AND ORGANIZATION (cont.)

Levels / Characteristics	#1 Do not establish a Western Network	#2 Establish a Western Network to provide a region-wide forum for planning and co-operation	#3 Establish a Western Network to provide a forum for planning and cooperation and to contract for limited services	#4 Establish a Western Network to provide a forum for planning and cooperation and to mesh the activities of existing service organizations
Benefits to State Librar	1. dollars are freed for other uses 2. a cost analysis instrument that can be used for state-wide analyses 3. availability of network planning data 4. analysis of regional networking needs	PLUS: 1. member states will have an established forum to coordinate and facilitate the exchange of information, cooperative planning and resource sharing solutions 2. state system designers will have an up-to-date consulting source from network staff and other experts identified in the region. 3. there will be a state voice in regional and national planning	PLUS: 1. the network will give member states a contracting agency from which to procure services not currently offered and for areas currently unserved. 2. each member state, as a user, will have a voice to represent needs to bibliographic system operators 3. the member states will have a group to pursue new technologies and services and to disseminate results	PLUS: 1. member states will be able to take advantage of an integrated resource sharing and telecommunication system and, backed by a regional machine-readable data base, to provide strong support for and input to the state network system and interstate sharing
Role/ Responsibility of Large Research/Resource Libraries	1. as representatives on the Network Steering Committee and Executive Board, responsible for participating in decision not to establish a network	Roles + responsibilities include: 1. in governance of network, to serve at the advisory and executive levels and to set policies, provide guidance and evaluate network performance against objectives 2. to fund the network, either as an individual library in a non-member state or as a contributor to state membership 3. to participate in the network forum for resource sharing and cooperative planning 4. to test, evaluate and implement resource sharing policies co-operatively derived 5. to participate in state-wide planning 6. to work with state librarians to inform state bodies of network developments 7. to actively work to inform institution administrators of progress and benefits of cooperative planning through the network 8. to work with established national groups of academic librarians to inform them of network development and to seek their input and support 9. to evaluate new proposals and projects 10. to inform other network members of the problems facing academic libraries	PLUS: 1. to identify unserved needs of academic libraries and communicate these needs to the network staff 2. to urge bibliographic centers, networks and systems to participate in network planning and to share expertise and experience with new developments. 3. to participate in specifying requirements for a machine-readable data base, especially in non-book materials 4. to work with other net suppliers of resources to implement region-wide solutions to resource sharing problems	PLUS: 1. to identify the role of the academic library in a multi-state resource sharing system 2. to implement policies and procedures that would make the rich resources of the academic libraries equitably available to the region 3. to recommend an efficient and effective means of meshing existing service organizations 4. to participate in the building of an integrated machine-readable data base and a regional telecommunication system 5. to participate in long-term planning for the region

POSSIBLE LEVELS OF WESTERN NETWORK ACTIVITIES AND ORGANIZATION (cont.)

Characteristics \ Levels	#1 Do not establish a Western Network	#2 Establish a Western Network to provide a region-wide forum for planning and co-operation	#3 Establish a Western Network to provide a forum for planning and cooperation and to contract for limited services	#4 Establish a Western Network to provide a forum for planning and cooperation and to mesh the activities of existing service organizations
Benefits to Large Research/Resource Libraries	1. a cost analysis instrument that can be used in library analyses 2. availability of network planning data 3. analyses of regional networking needs	PLUS: 1. large libraries would have an established forum to address a wide range of problems among libraries of all types, to publicize the problems and pressures facing academic libraries, and to address the role of major resource libraries in regional and national networks 2. large libraries would have an opportunity to share research and development information and information on policies and procedures to reduce costs, improve services, etc. 3. the Western Network will help to foster an agreement on resource sharing solutions that would be implemented and evaluated across the region	PLUS: 1. this gives large libraries a contracting agency from which to receive bibliographic services that might not otherwise be available 2. large libraries would have input to the region-wide, cooperative analysis and testing for a machine-readable data base, especially to cover unique collections and non-book materials; the long-term potential benefit is to decrease redundant effort and increase access to resources 3. a network organization to keep abreast of, and test, new products and services that cannot be efficiently tested in individual libraries, even large libraries	PLUS: 1. large research libraries would have a springboard from which to mesh their needs and concerns with those of other libraries to achieve an integrated multi-state resource sharing and telecommunications system
Role/ Responsibility of Bibliographic Centers and Networks	1. as technical advisors to the network project, responsible for giving guidance for network decision making	Roles + responsibilities include: 1. in governance of network, to serve as technical and policy advisors 2. to participate in the network forum for resource sharing and cooperative planning 3. to help network members utilize results of cooperative planning 4. to actively inform their members of the progress and benefits of the Western Network	PLUS: 1. to provide a working laboratory to test new services and technologies 2. to participate in the planning for and pilot test of a machine-readable data base 3. to encourage bibliographic systems to supply coordinated services	1. to "contract" with Western Network members to provide services in the region as a whole 2. to cooperate with other bibliographic systems to build a region-wide machine-readable data base and telecommunication system and to try to reduce redundant research and development 3. to recommend an efficient and effective means of meshing existing service organizations 4. to participate in long-term planning for the region
Benefits to Bibliographic Centers and Networks	1. a cost analysis instrument that can be used to help their member states and institutions 2. availability of network planning data 3. identification of components in the West 4. a political and technical analysis of regional networking needs	PLUS: 1. bibliographic centers and networks would have an establisned forum to assess user needs, share experiences and expertise, and inform the library community of their activities, priorities and concerns	PLUS: 1. bibliographic centers and networks could be contracting agencies to provide services to Western Network users that were not previously served by an existing network	PLUS: 1. the bibliographic centers and networks would have the opportunity to contract with Western Network users to provide services in the region as a whole and to contribute expertise to the building of a machine-readable data base and telecommunications system

POSSIBLE LEVELS OF WESTERN NETWORK ACTIVITIES AND ORGANIZATION (cont.)

Levels / Characteristics	#1 Do not establish a Western Network	#2 Establish a Western Network to provide a region-wide forum for planning and co-operation	#3 Establish a Western Network to provide a forum for planning and cooperation and to contract for limited services	#4 Establish a Western Network to provide a forum for planning and cooperation and to mesh the activities of existing service organizations
Advantages to the Alternatives	1. money would be freed for other uses	1. there would be an established formal forum in the region for coordinating: o problems of resource sharing o sharing information o recommending standards o cooperative planning o long-term planning 2. there would be an objective group on the ready in the region to provide active, objective consulting assistance to network members and to keep abreast of technological advances, new equipment and new products and services 3. the western region would have a vehicle for influencing national network developments and developments at the Library of Congress	PLUS: 1. bibliographic services and products currently not offered would be available and areas currently unserved with needed services would be able to obtain them from the Western Network 2. income derived from bibliographic services and products could be used to offset, to some extent, membership fees 3. the users of systems and services in the West would have a mechanism to communicate needs to bibliographic system and network operators 4. the region would have an integrated group concerned with planning for and testing a machine-readable data base to meet library technical services and ILL needs	PLUS: 1. the region would have a unique situation in the country -- an integrated, efficient, effective resource sharing system to meet the needs of western libraries of all types 2. the system would be supported by a telecommunication system and a machine-readable data base designed in a logical, orderly way for the region as a whole 3. redundant research and development efforts would be identified and eliminated; future development would be approached in a planned manner. 4. libraries in the region would get closer to the ideal of equality of access to bibliographic services and products, bibliographic information and the material itself
Disadvantages to the Alternatives	1. there would be no forum in the West for cooperative planning 2. there would be no objective, organized planning for future needs; there is a danger that states and individual libraries will have a diminishing voice in setting network priorities or services 3. cooperation will be a function of numerous groups and informal arrangements	1. the network organization would have to rely on the good will and voluntary cooperative spirit of the network members and bibliographic systems, networks and centers 2. the network funding base would only be derived from membership fees since there would be no network service from which to derive income; this would put a drain on already limited funds and would be another membership fee to pay	PLUS: 1. the network organization would still have to rely on good will and voluntary cooperation 2. the fact that the network would pilot test a regional machine-readable data base and offer limited services would foster the accusation of "competition" which would further harm the delicate balance of voluntary cooperation	1. the alternative may not be feasible at this time since perceived loss of autonomy (however small) is resisted by virtually all potential participants 2. unless precautions are taken in the governance structure, the organization might be cumbersome and slow to move
Staff Required	-0-	TOTAL NETWORK CORE STAFF 2 FTE Senior Exempt 1 FTE Secretary II	TOTAL NETWORK CORE STAFF 3.0 FTE Exempt 1.5 FTE Secretary I	First year, same as level 2

Characteristics \ Levels	#1 Do not establish a Western Network	#2 Establish a Western Network to provide a region-wide forum for planning and co-operation	#3 Establish a Western Network to provide a forum for planning and cooperation and to contract for limited services	#4 Establish a Western Network to provide a forum for planning and cooperation and to mesh the activities of existing service organizations
Estimated FY 77 Budget for Core Network Program 1/	-0-	TOTAL = $127,138 It is anticipated that FY 77 will be required to establish (1) the network, (2) the forum for cooperative planning, (3) the communication channels, and (4) the clearinghouse. During the first year, the network governance bodies will meet to approve the bylaws and identify and prioritize network objectives. Appropriate ad hoc groups on each issue will be convened and charged with studying and recommending actions. The network will disseminate results, provide consulting services and facilitate cooperation & coordination among these groups. During the final quarter of FY 77, network progress will be evaluated by the network governing body and plans for FY 78 will be developed. FY 78 plans will probably include pilot test and implementation of the recommendations made during FY 77 and work on new issues.	TOTAL = $184,573 less an uncertain amount to be derived from services to be offered by the network In addition to the activities outlined in level 2, level 3 would require that during FY 77, staff would identify and develop services and products, market them, help install or implement, monitor and disseminate results. FY 77 will be required to get this operation established. FY 78 would involve a continuation of services begun in FY 77 and the development of new services. Given the rapidly changing technological environment of networking, the development plan should be reexamined at regular intervals	Core program staff would probably remain the same as level 3 for FY 77. This amount could decrease in years 2-N as network components assume greater bibliographic service responsibility. Efficiencies should be expected in each component that meshes with the network as redundant planning and development decreases. During FY 77, planning activities outlined in level 3 would continue. The first year would be used to organizationally, financially and operationally plan for the role of service organizations in the Western Network and plan for a machine-readable regional data base and telecommunications. This alternative involves political and personality issues and will have to evolve over time. FY 77 and 78 would be required to establish the network. Some time in FY 79, the network should be stable and operational.
Funding Sources	None required past the end of the grant periods.	Membership fees; federal funds; state funds; grants from foundations.	Same as level 2, plus revenue from products and services.	Same as level 3 Revenue from services would be substantially greater

1/ See Appendix J for the detailed budget for levels 2 and 3 core network staff. Matching and requested grant funds are not included in these budget estimates.

If level 1 is suggested, a decision will have to be made by WICHE and the Western Council regarding the acceptance of grant funds should any or all of the four outstanding proposals be funded.

Comment	1. Network alternatives 2 and 3 rely on voluntary cooperation. The sense of "turf" held by some potential members and components in the West will make this type of cooperation difficult if not impossible. 2. A monolithic, overarching organization is absolutely not desirable. All the alternatives (but especially #4) must be structured so that state and regional needs are met and existing organizations remain free to pursue regional priorities. 3. The organization suggested in alternatives 2-4 should help to reduce redundant or duplicate research developments and act as a vehicle to attract grant funds to support on-going integrated research and development. 4. Alternatives 2-4 could equally: · service small libraries · facilitate cooperative acquisition plans · raise awareness of regional needs. · address legal questions of machine-readable record ownership · provide help in setting up reference services · facilitate ILL 5. Effective telecommunication system planning for the region will be difficult for the network in alternatives 2 and 3 because this network would not be actively engaged in operating bibliographic services. Alternative 4 has perhaps the best change to develop and operate a communication system for the region. 6. Any network alternative will require time to implement: it is imperative that funding is guaranteed for at least two years to show commitment and provide continuity.

APPENDIX F

FINANCIAL REPORT

APPENDIX F

COUNCIL ON LIBRARY RESOURCES

One Dupont Circle • Washington, D.C. • 20036 Tel: 202 296 4717

FINANCIAL REPORT

(The Council requires *official* accounting and the signature of the responsible financial officer)

CLR No. 614

Name and address of submitting institution: WICHE

P. O. Drawer P, Boulder, Colorado 80302

Submitted by: John C. Staley (Signature of responsible financial officer) John Staley, Associate Director, WICHE (Name & Title – Please type)

Title of Project: Western Interstate Bibliographic Network

Nature of Report: Interim ☒ Final ☐ (Please check one)

Starting date of Project July 1, 1975 Period covered by this Report Jan. 1 - March 31, 1976

EXPENSE ITEMS	Total Approved Budget (1)	Expenditures Since Last Report (2)	Total Expenditures to Date (3)	Balance Available (Col. 1 - Col. 3) (4)
A. Salaries, wages, & employee benefits	60,785.00	18,056.82	34,056.05	26,728.95
B. Consultant fees	1,000.00	625.00	1,171.00	(171.00)
C. Travel	12,750.00	5,443.02	10,092.10	2,657.90
D. Supplies & materials	-0-	-0-	-0-	-0-
E. Printing & duplication	-0-	-0-	-0-	-0-
F. Equipment	750.00	586.95	713.12	36.88
G. Other Costs	4,040.00	658.25	1,698.70	2,341.30
TOTAL COSTS	79,325.00	25,370.04	47,730.97	31,594.03

Total Grant 79,325.00 less receipts to date 52,500.00 balance available 26,825.00

FINANCIAL REPORT INSTRUCTIONS

1. Expense items:
   - A. Salaries, wages, & employee benefits – List names, and all position titles such as project director, research assistant, secretary, etc. State percent of time spent on the project, per annum salary, with beginning and, if applicable, ending dates of employment for each. Identify other jobs performed on a wage basis, i.e., per hour and rate, with beginning and, if applicable, ending dates of employment for each. Itemize benefits such as Social Security, retirement, hospitalization, etc.
   - B. Consultant fees – Show names, rate, and number of days.
   - C. Travel – For each trip by staff members or by consultants, explain the purpose of the travel, and include applicable cost information for both transportation and living expenses. Commercial Travel will be reimbursed at the economy rate.
   - D. – G. – Provide an explanation and computation for each item.
2. Reallocations or revisions of times in the budget upon which the grant is based must be approved in advance by the Council.

SUMMARY OF BUDGET AND EXPENDITURES FOR JANUARY 1, 1976 THROUGH MARCH 31, 1976

* Allocation (CLR Grant and Core Matching Funds)

ITEM	ALLOCATION *	EXPENDITURES AS OF 12/31/75	JANUARY EXPENDITURES	FEBRUARY EXPENDITURES	MARCH EXPENDITURES	EXPENDITURES JAN - MARCH	TOTAL EXPENDITURES	BALANCE
01 Salaries-Exempt	45,726	12,098.33	4,619.22	4,737.48	4,737.48	14,094.18	26,192.51	19,533.49
02 Salaries-Non Ex	7,170	1,936.08	569.00	569.00	607.16	1,745.16	3,681.24	3,488.76
04 Contract Hrly	-	-	-	-	-	-	-	-
05 Vac Benefits	-	-	1,413.46	478.46	454.51	2,346.43	2,346.43	(2,346.43)
07 Staff Benefits	7,889	1,964.82	726.34	742.90	748.24	2,217.48	4,182.30	3,706.70
26 Intern Stipend	-	-	-	-	-	-	-	-
27 Consultant Fee	1,000	546.00	-	200.00	425.00	625.00	1,171.00	(171.00)
28 Subcontracts	-	-	-	-	-	-	-	-
29 Data Processing	500	-	-	-	-	-	-	500.00
30 Travel-Staff	3,000	2,673.41	56.73	1,065.26	162.09	1,284.08	3,957.49	(957.49)
31 Travel-Relocate	-	-	-	-	-	-	-	-
32 Travel-Consult	750	87.28	313.22	376.27	204.91	894.40	981.68	(231.68)
33 Travel-Other	9,000	1,888.39	-	3,463.19	737.97	4,201.16	6,089.55	2,910.45
34 Travel-Trainee	-	-	-	-	-	-	-	-
45 Publications	2,000	-	190.35	58.28	282.32	530.95	530.95	1,469.05
53 Office Rent	1,800	669.39	169.31	169.31	168.93	507.55	1,176.94	623.06
54 Phone Equip	540	234.00	43.01	43.01	43.01	129.03	363.03	176.97
55 Phone Toll	1,200	137.06	21.67	-	-	21.67	158.73	1,041.27
58 Postage	800	34.77	86.14	61.12	109.55	256.81	291.58	508.42
60 Meeting Exp	-	52.74	-	127.44	43.00	170.44	223.18	(223.18)
61 Office Supplies	1,200	489.03	68.65	16.22	23.04	107.91	596.94	603.06
64 Copying	2,000	431.61	179.49	123.90	135.23	438.62	870.23	1,129.77
65 Other Exp	750	332.07	60.64	350.71	323.51	734.86	1,066.93	(316.93)
66 Train Matrls	2,000	-	-	-	-	-	-	2,000.00
77 Equip Purchase	-	-	-	-	-	-	-	-
TOTAL DIRECT COSTS	87.325	23,574.98	8,517.23	12,582.55	9,205.95	30,305.73	53,880.71	33,444.29
99 Indirect Costs	20,483	4,150.00	2,290.00	2,101.00	2,101.00	6,492.00	10,642.00	9,841.00
GRANT TOTAL	107,808	27,724.98	10,807.23	14,683.55	11,306.95	36,797.73	64,522.71	43,285.29

ATTACHMENT TO FINANCIAL REPORT FOR CLR 614

JANUARY 1, 1976 - MARCH 31, 1976

A. Salaries, Wages, and Employee Benefits		Third Quarter
Miss Maryann Duggan, Program Director	(25% on project at annual salary of $25,404. (Project start date 7/1/75)	1,469.49 *
Karl Pearson, Systems Analyst	(100% on project at annual salary of $24,500. Work on project began 9/15/75)	6,124.71
Eleanor Montague, Project Director	(100% on project at annual salary of $26,000. Work on project began 12/8/75)	6,499.98
Louise Martin, Project Secretary	(100% on project at annual salary of $6,828. Work on project began 10/20/75)	1,707.00
Clerical help (part-time)		38.16
	TOTAL	$15,839.34
Employee Benefits	(total for all exempt and non-exempt staff)	4,563.91 **
	GRAND TOTAL	$20,403.25

B. Consultant Fees		
Metz, T. John	(To present an overview of MIDLNET at Western Network Steering Committee meeting in Boise, Idaho on 2/2-3, and to be available throughout the two days to answer questions and add relevant experience.)	200.00
Miller, Oscar	(To present a summary of legal and organizational alternatives for the Western Network at Steering Committee meeting in Boise, Idaho on 2/2-3, and to be available throughout the two days to answer questions and add relevant experience.)	200.00
Long, Philip L.	(To consult with staff and make recommendations re. 1) optimal telecommunications for the West, 2) WLN-Montana interconnection, and 3) technical interconnection of bibliographic computers via telecommunication processors (e.g. RLG-LC interface.)	225.00
	TOTAL CONSULTANT FEES	$625.00

*Maryann Duggan's salary is lower than the amount charged last quarter due to vacation days.

**Vacation benefits were first charged in January at the rate of 8.8% of salary for exempt and 6.6% for non-exempt employees, retroactive to beginning date of employment; expenditures to date total $2,346.43.

C. Travel

Inclusive Dates	Person, Destination, City and Institution	Purpose	Transp.	Living	Total
8/12-13, 1975	Lura Currier from Seattle WA to Boise ID	Participate in Technical Task Force Meeting	114.74	54.35	169.09
11/11-16, 1975	Eleanor Montague from Boulder CO to Reno NV	Meet with Joe Anderson, Chairman of Western Council, and Maryann Duggan to discuss role as project director	160.19	153.03	313.22*
12/8-17, 1975	Eleanor Montague from San Jose-Portland-Seattle-Salt Lake City-Billings-Denver	Visit with potential participants in the Western Network	36.73		36.73**
1/17-24, 1976	Maryann Duggan from Boulder CO to Chicago	Attend, participate and represent WICHE at ALA Midwinter meeting	41.85	72.83	114.68***
1/18-22	Eleanor Montague from Boulder CO to Chicago	Attend ALA Midwinter meeting	183.66	187.83	371.49
2/2-3	Maryann Duggan from Boulder to Boise ID	Attend first meeting of Western Network Steering Comm.	86.22	93.30	179.52****
2/2-3	Eleanor Montague from Boulder to Boise ID	" "	137.10	61.76	198.86
2/2-3	Karl Pearson from Boulder to Boise ID	" "	146.45	54.26	200.71
2/2-3	T. John Metz from Green Bay WI to Boise	" "	296.47	79.80	376.27
2/2-3	Oscar Miller from Boulder to Boise	" "	144.23		144.23

*75% of cost, remaining charged to USOE (25%).
**This is an additional charge for airfare due to a change in schedule (previously reported in Second Quarterly Report).
***25% of cost, remaining charged to Core (50%) and USOE (25%).
****50% of cost, remaining charged to Core (25%) and USOE (25%).

C. Travel (cont.)

Inclusive Dates	Person, Destination, City and Institution	Purpose	Transp.	Living	Total
2/1-3	Alphonse Trezza from Washington, D.C. to Boise ID	Attend first meeting of Western Network Steering Comm.	331.60	65.02	396.62
2/1-3	Margaret Warden from Great Falls MT to Boise	" "	169.46	65.52	234.98
2/2-3	Kenneth Allen from Seattle WA to Boise	" "	111.14	31.80	142.94
2/2-3	Edythe Moore from L.A. to Boise	" "	155.38	34.24	189.62
2/2-3	H. Theodore Ryberg from Fairbanks AK to Boise	" "	365.76	30.17	395.93
2/1-3	G. A. Rudolph from Lincoln NB to Boise	" "	191.60	36.15	227.75
2/1-3	Joseph Anderson from Carson City NV to Boise	" "	104.98	57.93	162.91
2/1-3	C. Edwin Dowlin from Santa Fe NM to Boise	" "	209.94	71.36	281.30
2/2-3	David Weber from Stanford CA to Boise	" "	140.73	56.88	197.61
2/2-3	Joanne Arnold from Boulder to Boise	" "	157.43	43.04	200.47
2/1-3	Richard Neuman from Salina KS to Boise	" "	191.47	90.72	282.19
2/1-3	Roderick Swartz from Olympia WA to Boise	" "	141.94	29.10	171.04
2/1-3	James Burghardt from Portland OR to Boise	" "	91.47	50.42	141.89
2/2-3	Eda Taylor from Mesa AZ to Boise	" "	197.10	59.95	257.05

C. Travel (cont.)

Inclusive Dates	Person, Destination, City and Institution	Purpose	Transp.	Living	Total
2/2-3	Norman Alexander from Ashland OR to Boise ID	Attend first meeting of Western Network Steering Comm.	121.47	59.42	180.89
2/2-3	R. W. MacDonald from Vancouver BC to Boise	" "	124.40	64.11	188.51
2/1-4	K. L. Janecek from Fargo ND to Boise	" "	304.94	75.43	380.37
2/17-19	Eleanor Montague from Boulder to Seattle WA	Attend PNBC Board meeting	65.41	13.19	78.60*
2/24	Eleanor Montague from Boulder to Pierre SD	Visit with Vince Anderson, S.D. State Librarian, to discuss cost & funding in-depth study of state library and to brief him on Steering Committee meeting which he could not attend	57.04		57.04**
2/25	Philip L. Long from Salt Lake City to Boulder	To consult with staff and make recommendations re. telecommunications in the West, WLN-Montana interconnection, and technical interconnection of bibliographic computers via telecommunication processors	26.37	34.31	60.68***
2/24-25	Karl Pearson Boulder	Expenses incurred locally during a visit by Philip Long, a consultant for the Western Network project	19.20	7.25	26.45
	Eleanor Montague	Renewal fee for American Express charge card	20.00		20.00
			$4646.47	$1737.17	$6383.64

*25% of cost, remaining charged to USOE (75%).
**50% of cost, remaining charged to USOE (50%).
***The transportation charge of $26.37 reflects the difference in airfare between a direct flight from Salt Lake City to New York vs. a stopover in Boulder.

D. Supplies and Materials	CLR	Matching Funds	Total
Postage		$256.81	$256.81
Office Supplies		147.91	147.91
Library Books and Materials		217.95	217.95
		$622.67	$622.67
E. Printing and Duplication			
Copying		$438.62	$438.62
Publications		530.95	530.95
		$969.57	$969.57
F. Equipment			
Office Furniture Rental	$486.95		$486.96
Equipment Purchase		$ 19.95	19.95
			$506.91
G. Other Costs			
Office Rent	$507.55		$507.55
Phone Equipment	129.03		129.03
Phone Toll	21.67*		21.67
Meeting Expenses			
(Steering Committee meeting 2/2-3, Boise ID)		$127.44	127.44
(Network Directors in the West meeting 3/2-3, Denver CO)		43.00	43.00
Miscellaneous		10.00	10.00
	$658.25	$180.44	$838.69
Reimbursement for item erroneously charged to this account (see Second Quarterly Report)		$ 40.00	$ 40.00

*Phone toll charges for this quarter are not up to date due to an accounting problem; this will be rectified in the Final Report.

APPENDIX G

USOE COST AND FUNDING STUDY SUMMARY

WESTERN NETWORK

USOE Grant: G 00 7500741

N-12/000/01
March 1, 1976

SUMMARY OF THE COST AND FUNDING STUDIES BEING CONDUCTED FOR THE DEVELOPMENT AND IMPLEMENTATION OF A WESTERN INTERSTATE BIBLIOGRAPHIC NETWORK

Under a grant from the U. S. Office of Education (USOE), the WICHE Continuing Education and Library Resources Program is conducting cost and funding studies to support the development and implementation of a Western Interstate Bibliographic Network. These studies are being performed in conjunction with the network design and development project funded by the Council on Library Resources (CLR) and the Western Council. The USOE grant, for a one year period, was officially awarded July 1, 1975.

The cost and funding studies have four primary goals; each is described in the following section:

I. To determine representative costs of present library services without network support;

II. To estimate future costs of library services at various levels of proposed network support;

III. To evaluate and compare the impact of a network upon costs of library services; and

IV. To examine and recommend equitable programs of financial support for an interstate bibliographic network in the West.

I. DETERMINE REPRESENTATIVE COSTS

For the purposes of the cost study, we are focusing our attention on those library activities that are most likely to be affected by the presence of a regional network. Thus, the study will examine costs in the technical processing, interlibrary loan, and administration areas of library operations.

Cost data will be collected from 100 academic and public libraries in the region. We will use a stratified random sample (outlined in Attachment A) recommended by the study's consultant, Vernon E. Palmour, who has designed a number of major library cost studies. A list of those 100 libraries which have been invited to participate in this survey is presented in Attachment B. The data will be collected by means of a questionnaire survey. Twelve libraries in the sample will be asked to participate in a more extensive data collection effort to obtain detailed costs for the various subtasks involved in each major operational activity.

The survey will collect basic data on collection size, volume of activity ("throughput") in technical processing and interlibrary loan, and budget allocations. Detailed data will be collected on the following cost elements in technical processing and interlibrary loan, and budget allocations.

a. Direct Labor. Data to be collected include number and level of staff (expressed in FTE), salaries, and fringe benefits. Because network products and services might occasion a change in the mix of staff assigned to various activities, staffing data will be broken down into the levels of professional, paraprofessional, clerical, and student assistant. In addition, technical processing will be subdivided into activity categories related to acquisitions, cataloging, serials, and materials finishing.

b. Administrative and Supervisory Labor. This cost element includes the planning, budgeting, controlling activities required for the management of the library as a whole, as well as the direct supervision of technical processing and interlibrary loan by departmental supervisors (where appropriate). The presence of a network may affect the amount and kind of "administrative and supervisory overhead" required for these activities, both directly because of changes in the staffing mix and indirectly because of effort applied to relating the library as a whole to the network mode of operation.

c. Support Services. This cost element includes resources allocated to procuring services and products that increase staff productivity or that improve efficiency or effectiveness. Support services may be purchased from out-of-library suppliers or may be obtained

through operation of an in-library automated system. The survey is likely to include some libraries that already use products and services that a network might provide, and thus it is important in analyzing the collected data to be able to determine the degree to which a respondent is already operating in a network mode.

d. Telecommunications. This element includes costs for telephone, TWX, telex, telefacsimile, and similar telecommunications services used by a library for message transmission, data transmission, and interaction with other libraries, vendors, data base systems, and so on, in connection with technical processing and interlibrary loan. A network is likely to foster increased use of telecommunications for interlibrary communication and for access to computer-based bibliographic services.

e. Equipment. Equipment costs must be segregated according to the likely effect of network operations on them. We see three categories of equipment cost. The first category consists of equipment costs that are directly related to production, such as files, duplicating machines, teletype terminals, etc. The second category consists of equipment costs directly related to staff size, such as furniture and typewriters. The third category contains costs for equipment that is related to the operation of the library as a whole or is not related to production or staffing, and is unlikely to be affected by any networking activity.

f. Supplies. This cost element includes the stock of items (other than equipment) used to maintain normal operations, support routines, etc. (e.g., paper supplies, card stock, forms, pencils, pens). Supplies, like equipment, must be categorized according to the likely effect of network operations. There is a supply cost directly related to the size of staff that will fluctuate according to the impact of a network on staff size. Certain other supplies are related to production. There is also a core supply expense which will remain unaffected by network support.

Further refinement of these broad cost elements will be achieved through the detailed case studies of twelve libraries selected from the sample of 100 libraries. Within these case studies, additional cost elements will be required to delineate "real" costs:

g. Facility overhead. This includes building investment, depreciation, rental, maintenance, utilities and space allocation to those task areas being studied.

h. Equipment overhead. This includes an accounting of the costs for equipment owned, date of purchase, depreciation, and allocation to those task areas being studied.

i. Detailed administrative overhead. This includes a rigorous examination of the administrative structure and cost of activities directly related to technical processing and interlibrary loan.

In the twelve case studies, individual subtask activities will be surveyed for a period of three weeks to capture unit time and processing cost data. This study will provide a detailed accounting of staff time, by level of staff, and the corresponding direct costs, for specific subtasks within technical processing and interlibrary loan. Having these data in hand, it will be possible to evaluate the cost impact of network activities, products and services that alter or replace current subtasks.

Each of the participants in the survey are also being asked to participate in a study of interlibrary loan traffic in the West. A sample of interlibrary loan transactions, both borrowing and lending, will be monitored over a three-week period. A single-page tracking document will be used to capture lag time, type of request, queried institution, or requestor, and disposition for these transactions. In this manner, we will be able to discern interlibrary loan patterns in the West.

The data collection instruments developed for this cost study will be available for the use of any library wishing to use them as tools in their own evaluation of internal operations.

In addition to the cost data collected from libraries, the study will also collect data from three major bibliographic centers in the West: the Bibliographical Center for Research in Denver; the Pacific Northwest

Bibliographic Center in Seattle; and the California State Library Union Catalog in Sacramento. This portion of the study will focus on the costs associated with maintaining the union catalogs at the centers and with providing location and interlibrary loan services to member libraries. Data on the characteristics and patterns of interlibrary loan and location transactions will also be collected.

II. ESTIMATE FUTURE COSTS

Estimating future costs requires the examination of costs at two levels -- the network level and the individual library level. Services defined and specified for the Western Network will be used as the base for predicting network costs. This analysis may require use of a complex predictive model with several iterations contingent on alternative network designs, varying levels of expected participation, and the array of network services offered. Because network services are likely to be based on available automated services, such as BALLOTS, the Washington Library Network, and the Ohio College Library Center, costs to members of the network will reflect the corresponding pricing structures. Both the initial investment costs and the operating costs as incurred by the individual library are to be examined. Initial investment costs to be explored include:

* development and design of the system components (if required);
* profiling and programming the requirements of network members;
* conversion of manual files of network members to system files;
* equipment and equipment installation;
* communication links; and
* training of member library personnel in system use.

Operating costs are defined to be those costs incurred for the normal operations of the system and system use. These costs include:

* data base building, updating, storage, and maintenance;
* product and service charges, membership fees, etc.
* equipment rental and maintenance;
* updating network member profiles and programs;
* supplies;
* telecommunications;
* network support and consulting;
* system maintenance.

From this compilation anticipated costs to an individual library for network services can be predicted. Additionally, network operating costs as a

function of service volume and options can be estimated. Thus, the total funding requirements necessary to support the network can be predicted.

III. EVALUATE NETWORK IMPACT ON COSTS

After ascertaining present library costs in technical processing and interlibrary loan without network support, and expected future costs with a network (Phases I and II), these costs will be compared (Phase III). The library cost data for current activity as collected and analyzed during the first phase of this project represents the base from which extrapolations will be made. Identification of activities (and their corresponding costs) affected by network support (along with the manner in which they will be affected) allows for the estimation of cost changes introduced by replacement or adaptation of these activities by network services. Network costs and "new" activity costs will be substituted for replaced activity costs, and thus, a predictive model of the cost impact of network participation upon an individual library can be formulated. To insure the viability of such a predictor, the model will account for varying levels of network participation and service. Results of similar studies concerning the introduction of support systems to library technical processing and interlibrary loan will be employed to refine and validate these cost-impact estimates.

IV. RECOMMEND FUNDING STRATEGY

The most significant objective of these studies is to determine a funding strategy for a proposed network. Initial investigation into funding will include examination of existing network funding strategies, as well as public policy and legal issues as they affect funding. After formulating a wide spectrum of alternatives, and defining possible membership groups, funding strategies will be analyzed in light of the results of the cost studies, particularly the estimate of network funding requirements developed in phase II. Additionally, the types of network membership (e.g., state, multi-county, individual library, etc.) options and scaling of membership fees will be considered. Further the network cost impact developed in Phase III will be considered in determining the desirability of a membership fee graduated according to type and size of library and in relation to the cost-savings or cost-benefits associated with network services to each group. In this manner, equitable membership fees can be calculated. Such an

approach to funding will yield a set of optimal strategies upon which viable and equitable funding decisions can be made.

The scope and depth of these studies suggest they may be potential contributions to methodology, modeling and evaluation of library costs. Indeed, beyond the specific purpose these studies serve in the development of the Western Network, these studies will be of substantial value to future research in library services.

The progress of these studies will be reported in the Western Network Newsletter. Additionally, further detail on the study can be found in the quarterly reports for this project, released in October, 1975 and February and April, 1976. The final report will be available in September, 1976. For further information regarding these cost and funding studies, please contact:

Maryann K. Brown,
Cost and Funding Investigator
WICHE, P. O. Drawer P
Boulder, Colorado 80302
(303) 492-8188

ATTACHMENT A

OUTLINE OF THE SAMPLE DESIGN TO BE USED IN THE SURVEY FOR THE COST AND FUNDING STUDIES OF THE PROPOSED WESTERN INTERSTATE BIBLIOGRAPHIC NETWORK

The sample proposed for the survey of present library costs in 100 libraries in the 17 western states and British Columbia includes academic, public and state libraries. Considerable study was given to the possible inclusion of special libraries and school libraries. These libraries represent an essential resource in any western network and, clearly, must be included in network planning. However, an adequate examination into the technical processes and interlibrary loan services of these groups requires an entirely different type of study approach to account for the varying procedures, purposes and requirements of these libraries. This unique study does not fall under the charge of this grant, but should be given consideration for future study.

The sample was designed to allow the collection of a great amount of data concerning costs and interlibrary loan traffic via a survey instrument. Larger libraries, both academic and public, represent a major portion of those costs as well as interlibrary loan transactions to which this study is directed. Consequently the sample is weighted towards the inclusion of the larger institutions. Additionally, regional systems were singled out as a valuable source of interlibrary loan data. For these reasons the strata follow these guidelines:

Academic Library: A library which serves a four-year university or college or a two-year junior college or community college which meets the criteria for listing in the Higher Education Directory 1974-75; excluding, however, institutions which are for-profit, trade schools, exclusively graduate education, or highly specialized institutions such as seminaries, industrial schools, etc.

Large Academic Library: Institutions meeting the criteria indicated under academic and whose holdings exceed 920,000 volumes.

Other Academic Library: Institutions meeting the criteria indicated under academic and whose holdings do not exceed 920,000 volumes.

Public Library: A library that serves free all residents of a community, district or region, and receives its financial support, in whole or in part, from public funds.

Large Public Library: A public library, according to the above classification, which is among the largest ten libraries in the western 17 states and British Columbia. This is contingent upon willingness to participate in the survey.

Other Regional Headquarters: A public library serving, or housing a center which serves, a group of independent libraries in two or more counties, and supported in whole or in part by public funds from the governmental units served or from the state. This excludes those which are considered a part of the "large public" stratum.

Other Public Library: A public library which does not fall under the definition of a large public or regional headquarters library and which holds more than 3,000 volumes.

State Library: A library maintained by state funds for the use of state officials, and sometimes for the use of all citizens of the state.

The following table displays the number of libraries within each stratum to be included in the survey and in the case studies.

Stratum	Number in sample	Number of Case Studies (also part of sample)
Academic Libraries		
Large	20	2
Other	21	3
Total	41	5
Public Libraries (38)		
Large	10	2
Other Regional Headquarters	10	2
Other	22	1
Total	42	5
State Libraries	17	2
Sample Total:	100	12